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Information contained in this edition may be outdated and/or currently under revision. Users are encouraged to consult the most recent versions of the required documentation.

NACO participants are required to apply only the most current NACO policies and practices. For further information please contact your institutional NACO Liaison on the Cooperative Cataloging Team.

Library of Congress

NACO Participants' Manual

2nd Edition

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Preface

Today, shared authority work is essential. NACO, the name authority program of the Program for Cooperative Cataloging (PCC), is the mechanism for realizing that goal. Through NACO the PCC has achieved an increase in the number of participants both domestically and internationally. This includes an increase in the number of libraries that implemented authority control and that create authority records locally. As part of the PCC endeavor toward simplified documentation for the contribution of authorities the *NACO Participants' Manual* was created.

In 1994 the first edition of this manual was published. Amy McColl, then Authority Project Coordinator, Philadelphia Area Consortium of Special Collections Libraries, was the compiler of that original edition. Although it is designed expressly for NACO catalogers, catalogers creating name authority records in other databases also may find it useful.

The Cooperative Cataloging Team wishes to express its thanks to the NACO participants for their suggestions in revising the *NACO Participants' Manual* for its second edition. The team is especially grateful to the Cataloging Policy and Support Office and Judy Kuhagen and Diane Humes, Senior Cataloging Policy Specialists for their insight and assistance in updating this edition for our users.

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Acknowledgments from 1st edition

When I began as PACSCL's NACO Coordinator in 1991, I first visited Columbia University for RLIN NACO training. Susan Summer and Daria Hanowsky, Columbia's c-Coordiators, graciously gave me a copy of the NACO manual developed for Columbia's project. I based our own PACSCL version (which grew into this version) largely on the Columbia manual, and I'd like to thank both Susan and Daria for their initial work.

Many at the Library of Congress assisted in the writing and editing of this manual. I would especially like to thank John Byrum, Chief of the Regional and Cooperative Cataloging Division; Ann Della Porta, Ana Cristán, Marian Mayo, and Judy Henderson of LC's Cooperative Cataloging Teams; and Judy Kuhagen of the Cataloging Policy and Support Office.

Thanks must go to Karen Calhoun and Robert Bremer of OCLC and Ed Glazier of RLG for their assistance. NACO Participants with PACSCL and around the country offered helpful comments and suggestions on the first draft, for which I am grateful. I would not have been able to complete the project without the support of the original members of the PACSCL Central Staff and the members of the PACSCL Executive Committee. Lastly, I would like to thank Michael for his advice and encouragement.

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May 1994

Introduction

The Library of Congress (LC) engages in various kinds of cooperative cataloging activities. The Name Authority Cooperative Project (NACO) is one of LC's cooperative cataloging projects.

NACO was established in 1977 as a result of an agreement between LC and the U.S. Government Printing Office (GPO) to use and maintain a common authority file. With the success of this initial project, LC established several other cooperative cataloging projects, involving many institutional participants, e.g., the Subject Authority Cooperative Program (SACO) and the National Coordinated Cataloging Program (NCCP).

One of the missions of the LC Regional and Cooperative Cataloging Division (RCCD) is to support bibliographic cooperation among U.S. libraries. The following objectives have been designed with that mission in mind:

- ! To produce a national-level authority file;
- ! To share the costs of authority work;
- ! To reduce duplication of effort;
- ! To increase the timeliness of cataloging copy;
- ! To extend cataloging coverage; and
- ! To produce cataloging of national-level quality.

Currently, over 200 institutions representing federal, state, university, and special libraries participate in a variety of cooperative cataloging projects.

NACO participants contribute authority records to the national authority file (NAF). These records may include personal and corporate name authorities, as well as series authorities. Libraries create or change records in an online save file of their particular utility. After review or finalization, they are contributed to the national authority file and subsequently redistributed out to the utilities.

Cooperative serials cataloging is performed by members of the CONSER (Cooperative Online Serials) Program, which is coordinated by LC's Serial Record Division. CONSER members contribute name and series authority records to the national authority file.

Introduction

LC encourages libraries to contribute subject headings via the Subject Authority Cooperative Program (SACO). The contribution of subject headings is done through subject authority workforms (see Appendices V & VI) which are then mailed, faxed, or e-mailed to LC. Subject heading proposals submitted by cooperating libraries are circulated for comment and finally approved at the weekly subject editorial meetings at LC. Libraries are notified of approved headings and any changes to the headings as submitted. The review process takes approximately six weeks, and if approved, new subject headings are added to the Subject Authority File (SAF). Some basic guidelines for submitting new subject headings can be found in this manual; complete instructions can be found in the *Subject Cataloging Manual*.

This manual will address NACO/SACO procedures only, and will not include instructions for series authority record creation. It is not meant to replace AACR2, the LCRIs, or utility-based documentation; rather, it should be used in conjunction with these tools. Many of the name authority procedures discussed in the *Descriptive Cataloging Manual* (DCM) Z section are covered in this manual, but for more complete information the Z section should be consulted.

Examples in this manual generally use OCLC spacing for purposes of readability; that is, spaces appear before and after subfield delimiters. RLIN users should omit these spaces when entering records into RLIN. Examples with specific references to headings or variants found in the RLIN database reflect RLIN spacing practices.

Glossary of Terms and Abbreviations

Glossary of Terms and Abbreviations

AACR2 - *Anglo-American Cataloguing Rules*, 2nd ed., 1988 revision.

BFM - Bibliographic File Maintenance. NACO participants must notify their Coop Cat liaison when changing an existing heading found in LC bibliographic records. LC staff will perform BFM on those bibliographic records.

BGN - U.S. Board on Geographic Names.

CIP data - Cataloging in Publication data.

Coop Cat - Cooperative Cataloging Team, RCCD.

DCM - Descriptive Cataloging Manual. An in-house tool which is used by LC catalogers. It includes an entire section (Z) which addresses name and series authority procedures.

ENR - Early Notice Record. Brief, incomplete authority record input into the NAF as a temporary record while the full record undergoes the complete review and input process.

LC - Library of Congress.

LCRIs or RIs - *Library of Congress Rule Interpretations*.

MLC - Minimal Level Cataloging. Indicated by a value of "7" in the Level of Establishment fixed field on bibliographic records.

NACO - Name Authority Cooperative Project.

NACO Coordinator - The person responsible for reviewing and producing all NACO records at a particular institution or a cooperative NACO project.

NAF - National Authority File. In RLIN, "NAF" is the Name Authority File and "SAF" is the Subject Authority File.

NAR - Name Authority Record.

NUC - National Union Catalog.

Glossary of Terms and Abbreviations

PCC - Program for Cooperative Cataloging

Preliminary Records - Authority records with Level of establishment 008/33 value **d**. Used for authority records created without a work in hand, usually as part of a retrospective conversion project. Machine generated authority records may be coded preliminary.

Provisional Records - Authority records with Level of establishment 008/33 value **c**. These may be created by NACO participants when there is not enough information to establish a full record. Most common example: contributing library does not have the language expertise to establish the record in full.

Quality Review - The review by the Cooperative Cataloging Teams, RCCD, of a set number of a new NACO institution's records, conducted to determine readiness for independent status.

RCCD - Regional and Cooperative Cataloging Division, Library of Congress.

SACO - Subject Authority Cooperative Program.

SACO Coordinator - The person responsible for reviewing all SACO records at a particular institution or a cooperative SACO project.

SAF - Subject Authority File.

SAR - Series Authority Record.

Surrogate - A copy of the title page, other preliminary pages, and the colophon that are supplied to Coop Cat to aid in the review of certain non-Roman language NARs.

Undifferentiated personal name - A heading that represents more than one person with the same name. Also referred to as a non-unique name.

Usage - The literal transcriptions of the forms of name usually found in statements of responsibility. Literal transcriptions may also appear in other parts of the bibliographic record, such as in the title proper or in a quoted note. Be sure that you are recording the transcription of the name as it appeared on the publication and not as it was formulated because of cataloging rules. Be especially careful when taking information from the publication, distribution area and from series statements. Headings may never be provided as usage.

Eligible Headings

Authority records are permanent records in machine-readable form representing established names. Generally, they include the following elements: 1) the form of the name chosen for use in headings (1XX); 2) the sources for this form and variant forms (670); and 3) the cross references leading to the heading from variant forms or from related headings (4XX and 5XX) if appropriate. Additional information may be recorded in fixed fields (008) and cataloger's notes (667, 663, 664, etc.). Control data and content designation are also included for proper identification and manipulation of the machine-readable data.

Generally, a name authority record is made for any personal or corporate (including geographic) name heading that may be used as a main or added entry heading (including subject), or in certain cross references. NARs may also be made for geographic or corporate names which are used as qualifiers in headings. NARs are not made for personal names when the only clue to the person's identity is a non-alphabetic or non-numeric device (cf. DCM Z1, Introduction, p. 2), nor for entities that may be used only as subject entries, e.g., topical subject headings, fictional characters, animals, or geographic features.

NACO participants may contribute name authority records for titles or name/titles (other than series, see below) as needed for cataloging. At LC an authority record for a uniform title is required only when one or more of the following conditions applies (cf. DCM Z1, Introduction)

- a) a reference must be traced on **that** authority record; or,
- b) special research done to establish the heading must be recorded; or,
- c) the heading is needed for a **related** work added or subject entry, and no bibliographic record for the item exists in the database; or,
- d) special information needs to be recorded, e.g., citation title for a law.

At LC these criteria are applied to each element of the full heading (main title, language, part, etc.) and a separate authority record is made for each element that meets the criteria.

Note that this means that authority records are **not** automatically created for each element of a uniform title heading.

Eligible Headings

Types of headings

All name headings are eligible for contribution to NACO, including:

- personal name headings
- corporate body headings
- conference headings
- uniform title headings
- geographic name headings for jurisdictions

Libraries that have received training in series authority contribution may contribute SARs for all monographic series, analyzable or partially analyzable multipart items, all occasionally analyzable serials other than monographic series, and series-like phrases that may be construed by some to constitute a series. They may also contribute SARs for not-analyzable multipart items according to local decisions and make changes to established SARs. Detailed instructions for series authority contribution may be found in the DCM Z.

Libraries that have received training in music name-uniform title authority contributions as part of the NACO-Music Project may contribute music name-uniform title NARs and make changes to established NARs.

Subject headings may be contributed using paper or electronic workforms (see Appendices V & VI) supplied by the Library of Congress. Follow the *Library of Congress Subject Cataloging Manual* (5th ed.) when formulating subject headings and cross references. Refer to the "Division of the World" document found in the DCM Z11 or the *LC Subject Cataloging Manual* (H405) to determine whether a heading should be established as a name or subject.

If you are not sure whether a particular heading is eligible, consult with your Coop Cat liaison.

Surrogates

For the review of authority records, LC requires NACO participants to submit surrogates (photocopies) of title pages (or source information in the case of manuscripts and archives) for headings in non-Roman languages, except Cyrillic.

The surrogates should be mailed or faxed to your Coop Cat liaison (fax number: 202-707-2824).

NACO Documentation

NACO authority work is based on the following documentation:

A. Required NACO Documentation

1. The Library of Congress *Descriptive Cataloging Manual* (DCM), with particular reference to the following section:

Z1, rev. 1996 -- name authority records. Updates issued as needed.

2. *Anglo-American Cataloguing Rules* (AACR2), 2nd ed., rev. 1988.

3. *Library of Congress Rule Interpretations*, 1990 (LCRIs). Updates issued quarterly.

4. *Library of Congress NACO Participants' Manual*. Updated edition issued as needed.

5. *USMARC Authority Format*, 1993. Updates issued regularly.

6. *ALA-LC Romanization Tables*.

7. *Cooperative Cataloging News*.

8. *Music Cataloging Decisions* (MCD). For music materials.

B. SACO Documentation.

1. *Library of Congress Subject Headings*. New edition published annually.

2. *Subject Cataloging Manual: Subject Headings* (5th ed). Updates issued regularly.

3. *Free Floating Subdivisions: An Alphabetical Index*. New edition published annually.

4. *Library of Congress Period Subdivisions Under Names of Places*.

5. *Library of Congress Classification schedules*. Updated quarterly.

6. *Subject Cataloging Manual: Classification* (1st ed., 1992). Update No 1, 1995.

C. RLIN Documentation

1. RLIN Authority Field Guide (Aug. 1988) and Memory Aid (updates issued at regular intervals)
2. "Searching the Authority Files" (Chapter 9 of the *RLIN Searching Manual*, 3rd ed.)
3. "Input and Update in the NAF" (Sept. 1988)

D. OCLC Documentation

1. *OCLC/LSP Authority File: User Guide* (1988)

Section I

New Authority Records

Workflow

Training Status

I. During the quality review period, new authority records are entered by the cataloger or NACO Coordinator into the bibliographic utility's Save or Review file. These are full authority records in that they include:

- A. values supplied for the fixed fields for **Descriptive Cataloging Rules** (008/10), **Undifferentiated Personal Name** (008/32), **Reference Evaluation** (008/29), and **Level of Establishment** (008/33) if warranted, as well as default values for other fixed fields.
- B. the new heading (1XX)
- C. 4XX and 5XX fields (if needed)
- D. a 670 field for the work being cataloged
- E. additional 670 field(s) if necessary
- F. other fields (such as 675 or 667) if necessary

II. The NACO Coordinator then reviews all records before sending record numbers to LC. Each NACO Coordinator must develop a system of review for his own institution or institutions. A possible workflow for a single university project with several departments participating might look like this:

- A. Records are input using several accounts set up by the bibliographic utility in different departments of the university (Original Cataloging, Serials, Law Library, etc.).
- B. Each cataloger contributing records sends e-mail to the NACO Coordinator, notifying him of records input into the Save or Review file. The NACO Coordinator prints out all records in Save or Review by accessing each account, and reviews them.
OR
Each cataloger sends printouts to the NACO Coordinator through regular intramural mail; NACO Coordinator then reviews them.
- C. The NACO Coordinator notifies each cataloger (normally via e-mail) of corrections which need to be made.

New Authority Records

D. After all records are reviewed by the NACO Coordinator, a list of record numbers is sent to the Coop Cat liaison via e-mail, who also reviews each record.

E. Coop Cat liaison notifies the NACO Coordinator of any corrections which need to be made.

F. After all corrections are made, and the Coop Cat liaison gives final approval, records are then put into production by the NACO Coordinator. Records normally appear in one to two days on the bibliographic utilities.

It is also possible for catalogers to fill in worksheets and send them to the NACO Coordinator, who then inputs all records online. It is up to each NACO Coordinator to determine the most efficient system for the project.

III. Remember that for languages requiring surrogates, the institution must mail or fax the relevant pages to the Coop Cat liaison. Please label the photocopies clearly with the record number(s) and where the information is from (e.g., "t.p.," "colophon," etc.).

IV. Records for which there are questions for LC staff are handled in a separate stream. LC is queried via e-mail for resolution of the question(s).

Independent Status

Independent status is granted to the project after a formal quality review is conducted by Coop Cat. During the quality review, LC staff members review a set number of new records to determine accuracy. After independent status is granted, records are not reviewed by LC staff before they are put into production. The NACO Coordinator may want to set up a new workflow for the contribution of name authority records. The Coordinator may decide to continue to review and produce all records input by catalogers, or if he feels confident that catalogers have mastered NACO procedures, it may not be necessary to review every record. Again, this is up to the Coordinator. The workflow may look something like this:

- A. Records are input by catalogers using different accounts
- B. NACO Coordinator receives notification of new records input
- C. NACO Coordinator prints out and reviews all records by accessing accounts, notifying catalogers of changes or problems
- D. After all corrections are made, NACO Coordinator produces records.

New Authority Records

Or, if the quality of authority records has been consistently good, the NACO Coordinator may simply decide to do this:

A. Records are input directly into production by each cataloger.

Note that libraries may wish to keep copies of individual records or lists of record numbers for internal record keeping purposes.

Database Search Procedures

NACO participants create authority records when they find no matches in the online NAF. However, it is not required that every heading for which there is no match be submitted. Participating libraries are not obligated to contribute particular authority records, but they are encouraged to expand their contributions whenever possible.

In order to create an original heading, participants need to follow NACO searching procedures. This is generally limited to the NAF and bibliographic records in the RLIN and OCLC bibliographic files. If no information is found in these locations, formulate the heading based on the piece in hand. In special cases, as dictated by AACR2 or the *LC Rule Interpretations*, you will also need to consult reference sources.

I. Authority File Searching

Search the NAF, using RLIN, OCLC or the LC database via Internet. Be sure the heading you wish to create does not already exist in the NAF. Remember to search any variants as well. Use the proper bibliographic utility documentation to determine the most effective way to search. **Some examples:**

RLIN

fin pn smith, w p	[to find personal name William Peter Smith]
fin cp philadelphia pri#	[to find Philadelphia Print Shop]
fin hp shakespeare#merchant	[to find Shakespeare's <i>Merchant of Venice</i>]

Keep in mind that in RLIN verified authority records and saved authority records are kept in two separate files. To find records in the Save or Pending Record file, use the following command:

fin prp simmons#	[to find all saved or pending headings which begin with "simmons"]
------------------	--

More detailed instructions for searching the NAF in RLIN can be found in the *RLIN Searching Manual*.

OCLC

sca pn smith, william peter	[to find personal author William Peter Smith]
-----------------------------	---

New Authority Records

sca co philadelphia print shop [to find Philadelphia Print Shop]
sca ti merchant of venice [to find title *Merchant of Venice*]

The OCLC Authority File does not combine verified and saved authority records. The save file is separate from the NAF. Each member library can view records only in its own save file. Therefore, it is imperative always to search the NAF just before contribution of new records, as another NACO participant may have already contributed the same heading. More detailed searching procedures may be found in the *OCLC Authorities User Guide*.

LC Database via Internet

A new feature for institutions with Internet access is the ability to search the LC database directly. Access is through LC's Marvel gopher server (gopher://**marvel.loc.gov**). Access is given to several files including bibliographic records and subject authorities using the SCORPIO searching interface which is menu-driven (help screens are available), or to the MUMS database which provides access to the name authority file. Users are advised to retrieve instruction guides (available via anonymous ftp) or purchase them from the Cataloging Distribution Service. Some examples of authority file searches:

ppnk smith,william;f=na [to find authority records for "Smith, William"]
find c philadelphia print;f=na [to find authority record for Philadelphia Print Shop]
find t merchant venice;f=na [to find authority record for *Merchant of Venice*]

II. Bibliographic File Searching

A. If the heading is not found in the NAF, the cataloger may next search the bibliographic files in RLIN or OCLC in order to find the predominant form (for personal authors) or usage of name, and any other relevant information. **Usage** refers to the forms of name found in the 245 field of the bibliographic record, or other transcription of the name from the work, such as an "at head of title" note, not the form found in the 1XX, 6XX, or 7XX. The cataloger must also note any LC bibliographic records which contain the proposed heading or variations of that heading. Valid LC bibliographic records are defined in RLIN and OCLC by memoranda found at the back of this manual as Appendices III and IV. Be sure to search all appropriate files for the name you are trying to establish (in RLIN, select all files before beginning your search). Use documentation for the specific bibliographic utility to determine the most efficient search strategy. **Some examples:**

New Authority Records

RLIN

Select all files before beginning your search.

fin pn williams, j p	[to find bibliographic records with the heading "Williams, Janice P."]
fin pn williams, j p/als li dclc	[to find all LC bibliographic records with that heading]
fin cp philadelphia print#	[to find bibliographic records with corp. phrase "Philadelphia Print Shop"]

OCLC

Logon to PRISM, and conduct a regular OCLC PRISM search for the heading. There are several ways to do this, using either keyword searching or search key searching.

fin au williams and au janice	[to find all bibliographic records with the heading "Williams, Janice P."]
=auto,man,s	[to find all bibliographic records with corp. phrase "Automated Management Systems"]
=hers,foo,c/dlc	[to find all LC bibliographic records with corp. phrase "Hershey Food Corporation"]

LC Database via Internet

It is also possible to search the LC database directly via Internet to find LC bibliographic records which contain the heading in question. To do this, follow the online help screens after using the LC Marvel gopher server. Some examples of searches:

ppnk williams,janice	[to find all LC bibliographic records which contain the words "Williams, Janice" in a personal name heading, in that particular order]
find c automated management	[to find all LC bibliographic records which contain the words "Automated" and "Management" in a corporate heading]
find t merchant venice	[to find all LC bibliographic records which contain the words "Merchant " and "Venice" in a title]

B. If your search retrieves full level or CIP LC bibliographic record(s) coded AACR2 (Descriptive cataloging form Leader/18 = **a**), recheck the NAF. The heading should be there.

C. Determine which of the following cases (1-4) applies to your heading and follow the instructions listed there:

New Authority Records

1. No LC records in the bibliographic file:

If you don't find any LC bibliographic records in the bibliographic files, create the heading based on the piece in hand and non-LC bibliographic records. Use AACR2 and the LCRIs, and create a new name authority record for that heading.

2. Full-level pre-AACR2 LC records in the bibliographic file:

If you find full-level pre-AACR2 LC bibliographic record(s) in the bibliographic file (Descriptive cataloging form Leader/18 **b or i**), you will need to determine:

- a. whether the heading you would create according to AACR2 and the LCRIs would be the same as the pre-AACR2 LC heading; if so, choose that as the heading.

See procedures on how to cite LC in RLIN or OCLC in authority records.

If the heading you would create differs from the pre-AACR2 LC heading:

- a. create a new name authority record for that heading
- b. cite the pre-AACR2 LC heading in your record according to procedures for 670 fields; trace a reference from that form if it is valid according to AACR2 and the LCRIs
- c. report the need for bibliographic file maintenance (BFM) to the Coop Cat liaison.

3. Minimal Level Cataloging (MLC) LC records in the bibliographic file:

Authority work normally has not been done for headings used in minimal level cataloging records and less than fully authenticated serial records (authentication field 042 does not contain any one of the codes lc, lcd, or nlc). It may be necessary to reconsider the formulation of the heading on the MLC bibliographic record; if the established heading is different, notify the Coop Cat liaison to do BFM. However, an MLC record or less than fully authenticated serial record might provide useful information, such as a birth date not given elsewhere or usage not otherwise available. You will be able to identify LC minimal level cataloging records by checking the **Encoding Level** fixed field in the bibliographic record, which will be coded **7**. If you find LC MLC records in the bibliographic file, you will need to determine:

- a. whether the heading you would create according to AACR2 and the LCRIs would be the same as the heading on the MLC bibliographic records
- b. how many instances of the heading used on MLC bibliographic records there are in the database

New Authority Records

If the heading you would create matches the heading found on MLC bibliographic records, create a new name authority record that matches that heading. See 670 procedures on how and when to cite headings found on MLC bibliographic records in authority records.

If the heading you would create does not match the heading found on MLC bibliographic records, create a new name authority record. See 670 procedures on how and when to cite headings found on MLC bibliographic records in authority records. It will be necessary to notify the Coop Cat liaison that BFM is needed.

4. Full-level pre-AACR2 and LC MLC records in the bibliographic file:

If you find a combination of a pre-AACR2 heading and a heading used on MLC bibliographic records in the bibliographic file, you will need to determine:

- a. whether the heading you would create according to AACR2 and the LCRI would be the same as the pre-AACR2 heading and/or the heading on MLC bibliographic records
- b. how many total instances of the headings there are in the database

If the pre-AACR2 heading and the heading found on MLC bibliographic records are the same and the heading you would create matches this form, create a new name authority record for that heading.

If the heading you would create does not match the pre-AACR2 heading and the heading found on MLC bibliographic records, it will be necessary to notify the Coop Cat liaison that BFM is needed.

Fixed Fields

Most fixed fields in authority records are either constants or are system supplied. The only ones catalogers will routinely need to determine are:

Descriptive Cataloging Code (008/10)

RLIN = CRC

OCLC = Rules

- code **a** for earlier rules (not used for newly created NARs)
- code **b** for AACR1 (not used for newly created NARs)
- code **c** for AACR2
- code **d** for AACR2 compatible headings (used only for newly established NARs for uniform titles entered under a personal or corporate name that is already coded **d**, or for subordinate units that are entered under a corporate name already coded **d**)

Undifferentiated Personal Name (008/32)

RLIN = UPN

OCLC = Name

- code **a** for a differentiated (i.e., representing one person) personal name or a name/title entered under a personal name
- code **b** for an undifferentiated (non-unique) personal name (i.e., a name heading that represent more than one person with the same name, according to AACR2 22.20)
- code **n** otherwise (i.e., for a corporate, conference or geographic name)

Reference Evaluation (008/29)

RLIN = RFE

OCLC = Ref status

- code **a** if your record includes cross references (4xx or 5xx)
- code **n** if it does not

New Authority Records

Level of Establishment (008/33)

RLIN = STH

OCLC = Auth status

- code **a** for full-level
- code **c** for provisional level
- code **d** for preliminary level

See Appendices I and II for examples of RLIN and OCLC worksheets, including fixed field values.

053 Field

NACO participants may request from LC assignment of literature class numbers for authors of belles lettres. Note that 053 fields are not assigned to undifferentiated personal name headings. When making the request, include the following information:

1. Original language of writings. If multiple languages are used, indicate which predominates.
2. Current nationality, or nationality at time of death. If the author changed citizenship, indicate also the nationality at the time the preponderance of works was written, if different.
3. Country of birth.
4. Country of residence.
5. Span of productive years, and/or birth and death dates.
6. Place and date of publication of work in hand.
7. Suggested class number, if it can be determined.

LC will then assign a class number, which should be included in the 053.

Examples

100 10 Smiley, Jane
053 PS3569.M39

100 10 Kunitz, Stanley, \$d 1905-
053 PS3521.U7

1XX Field

Formulate your heading according to AACR2, the *LC Rule Interpretations*, and usage found on the piece in hand and in RLIN or OCLC bibliographic records. Enter your new record into the bibliographic utility's Save or Review file. Supply tag, indicators, delimiters, and subfield codes as appropriate.

All non-roman scripts must be romanized according to the *ALA-LC Romanization Tables*.

For all languages, provide diacritics as they appear in the language, with the exceptions given in LCRI 1.0G.

Do **not** end the 1XX field with a period unless it ends with an initial or an abbreviation. Note that the second (nonfiling characters) indicator is currently supplied in authority records although it has been made obsolete for some heading fields in USMARC.

For information on adding dates and other qualifiers to headings when pre-AACR2 headings are found in the RLIN or OCLC bibliographic files, see the section on **Additions and Changes to Authority Records -- Pre-AACR2 Headings in the NAF** in this manual.

Personal Names

- 100 10 Smith, John
- 100 10 Smith, John, \$c of Walworth
- 100 10 Smith, John, \$d b. 1648?
- 100 10 Smith, John A.
- 100 10 Smith, J. A. S. \$q (John Alec Sydney)
- 100 10 Smith, John, \$d 1864-1905

Corporate Names

- 110 10 United States. \$b Internal Revenue Service
- 110 20 Labour Party (Great Britain)
- 110 20 Free Library of Philadelphia
- 110 10 France. \$b Commission interministérielle "Loisirs des personnes handicapées"
- 110 10 New York (N.Y.). \$b Street Dept.
- 110 20 Library of Congress

When establishing a subordinate unit of a corporate body, you must also establish the parent body as a separate entry, unless it is already in the NAF.

New Authority Records

Conference Names

111 20 International Conference on Adaptive Structures
111 20 New England Governors Eastern Canadian Premiers Conference. \$e Committee on Sustainable Economic Development
111 20 Conference on HDTV & Future Television
111 20 NFU Conference
111 20 Organon Round Table Conference
111 20 Workshop on Statistics and Computing in Disease Clustering \$d (1992 : \$c Port Jefferson, N.Y.)

Uniform Titles

100 10 Shakespeare, William, \$d 1564-1616. \$t Merchant of Venice
100 10 Walker, Alice, \$d 1944- \$t Nineteen fifty-five
100 10 Forster, E. M. \$q (Edward Morgan), \$d 1879-1970. \$t Short stories. \$k Selections
100 10 Victoria, Tomás Luis de, \$d ca. 1548-1611. \$t Masses \$n (1592). \$p Missa Vidi speciosam
130 0 Bonn Convention \$d (1952)
130 0 Talmud Yerushalmi. \$p Nezikin. \$l German. \$k Selections

Geographic Names

151 -0 Mountain View (Calif.)
151 -0 Germantown (Philadelphia, Pa.)
151 -0 Tunbridge Wells (England)
151 -0 Dublin (Ohio)
151 -0 Mexico City (Mexico)
151 -0 Shanghai (China)

4XX and 5XX Cross References -- General Overview

I. All authority records contributed to the NAF need to be evaluated to determine whether they require cross references. For the basic procedures to be used in formulating cross references, see:

- A. AACR2, chapter 26, and parts of chapters 22-25
- B. LCRIs for chapter 26, and parts of chapters 22-25
- C. DCM, section Z1

II. If the record does require cross references, add them to the authority record, including tags, subfields, delimiters, and diacritics. Be sure to include control subfields (beginning with \$w) when needed for special types of references, e.g., references from earlier or later names.

**Search all cross references to insure they do not conflict with established headings
(4XX refs. can conflict with each other)**

Simple 4XX and 5XX Cross References

- I. Apply the guidelines in AACR2, chapter 26, and the associated LCRI in formulating cross references for 4XX ("see" or "search under") and 5XX ("see also" or "search also under").
- II. Do not trace a 4XX "see" cross reference that would normalize to the same form as the heading on the same record or to the same form as a heading on another record. Note that 5XX "see also" references **will** normalize to the same form as established headings. See DCM, section Z1, "Introduction" for full information on NACO normalization.
- III. Formulate all references according to AACR2 and the LCRIs, i.e., in the form in which they would be constructed if chosen as the heading.
- IV. Do not end 4XX and 5XX fields with a period unless the heading ends with an initial or an abbreviation.
- V. See sections below for notes on:
 - A. Simple 4XX "See" Cross References
 - B. Simple 5XX "See Also" Cross References

Simple 4XX "See" Cross References

I. Record in the 670 all forms of the name found on the chief source. Be selective about recording forms not found on the chief source.

II. NACO participants are no longer required to trace references from pre-AACR2 headings found on LC bibliographic records, which are sometimes called "linking references from pre-AACR2 headings." However, if judged useful by the cataloger or in the case of specified projects, a linking reference from the pre-AACR2 heading may be made (see section on **Linking References from Pre-AACR2 Headings** for more information).

Personal Names

A. Trace a reference from each variant that affects the primary elements of the name (see LCRI 26.2). Generally, this means variations in all elements to the left of the comma and in the first element to the right of the comma. Do not trace a reference that would normalize to the same form as the heading on the same record or to the same form as the heading on another record. Refer from other variants (i.e., those that do not affect the primary entry elements) when it is judged the access to the catalog would be improved, as in the case of differing search strategies in other databases. One frequently applicable factor is a rather common-sounding surname seen in the form found prominently.

B. Generally make one reference from each possible entry element of the name chosen as the heading.

C. Generally make only one reference from each variant. Use judgment in determining whether to make references that are "variants of variants."

D. In references with initials, generally include in parentheses the full form, if known. However, if the heading contains an initial without the full form being given there, make the reference "match" the heading.

Examples

100 20 Carroll-Spillecke, Maureen, \$d 1953-
400 10 Spillecke, Maureen Carroll-, \$d 1953-
400 10 Carroll, Phyllis Maureen, \$d 1953-
400 20 Carroll-Spillecke, M. \$q (Maureen), \$d 1953-

New Authority Records

100 10 Hays, James D., \$d 1926-
400 10 Hays, J. D. \$q (James D.), \$d 1926-
[not 400 10 Hays, J. D. \$q (James Donald), \$d 1926-]

100 10 Smith, John Samuel
400 10 Smith, John S. \$q (John Samuel)
[in this case, since "John Smith" is a very common name, it is a good idea to trace this cross reference even though the primary elements are the same in the 100 and 400 fields. See LCRI 26.2.]

100 00 H. D. \$q (Hilda Doolittle), \$d 1886-1961
400 10 Aldington, Hilda Doolittle, \$d 1886-1961
400 10 D., H. \$q (Hilda Doolittle), \$d 1886-1961

100 10 Williams, J. Llewellyn \$q (John Llewellyn)
400 10 Williams, John Llewellyn

100 10 Sword, Penelope Haley, \$d b. 1736
400 10 Haley, Penelope, \$d b. 1736

Corporate Names

A. Include qualifiers in the reference if appropriate to the form in the reference even if the qualifier has not been used in the heading because of earlier policies or because it is not appropriate there. But, do not add a qualifier to a reference consisting solely of an initialism. See LCRI 26.1, p. 3-4.

Examples:

110 20 Galleria nazionale d'arte moderna (Italy)
410 20 National Gallery of Modern Art (Italy)

110 20 International Business Machines Corporation
410 20 IBM
410 20 I.B.M.
410 20 International Business Machines Corp.
410 20 IBM Corporation

New Authority Records

B. Construct the reference to "match" the heading with regard to the presence, absence, or form of a term of incorporation.

Example:

110 20 William Claiborne, inc.

410 20 Claiborne, inc.

Simple 5XX "See Also" Cross References

Personal Names

A. (Cf. LCRI 22.2B and LCRI 26.2D) When a contemporary author uses one or more pseudonyms, create name authority records for each name and link them with 500 "see also" references. Generally, LC practice will be to prefer simple, individual "see also" references when only two names are involved, but explanatory references are required when there are three or more names. For examples of the latter, see the section in this manual on the **663/664 Fields**.

Example

100 10 Lasky, Kathryn
500 10 Knight, Kathryn Lasky

100 10 Knight, Kathryn Lasky
500 10 Lasky, Kathryn

See LCRI 22.2, Contemporary authors who use different real names concurrently.

B. (From LCRI 26.2C) For personal names, when the entire form in the first line of a reference and the entire form in an established heading are the same, attempt to resolve the conflict by additions to the name in the reference (cf. LCRI 22.17-22.20). If there are no data available to resolve the conflict, trace it as a 5XX reference, rather than a 4XX reference. This applies whether the cross reference already exists on an NAR or is being added to an NAR.

Example

100 10 Jones, A. R. \$q (Albert R.)
500 10 Jones, Albert R.
[Jones, Albert R. is already established; no data available to resolve the conflict]

C. (From LCRI 26.2C) When the name of a performing group contains the name of one or more of its members, make a "see also" reference from the heading for each person to the heading for the group (but not from the group to the person).

New Authority Records

Example

110 20 Peter, Paul, and Mary (Musical group)
500 10 Yarrow, Peter, \$d 1938-
500 10 Stookey, Paul, \$d 1937-
500 10 Travers, Mary, \$d 1936-

Corporate Names

A. (Cf. LCRI 26.3B-C) When the relationship between two corporate names is not directly sequential or when information about the exact relationship is not known, make simple "see also" references between the related headings (as opposed to earlier/later cross references).

Example

110 10 United States. \$b Office of Indian Affairs. \$b Washington Superintendency
510 10 United States. \$b Office of Indian Affairs. \$b Oregon Superintendency
670 Guide to records in the Nat. Archives of the U.S. relating to Am. Indians, 1981: \$b p. 145-146 (Washington Superintendency was est. 1853 with the organization of Washington Territory; the Indians in Washington previously had been assigned to the Oregon Superintendency; between 1857 and 1861 the Oregon and Washington Superintendencies were combined; reest. in 1861; abolished in 1874)

110 10 United States. \$b Office of Indian Affairs. \$b Oregon Superintendency
510 10 United States. \$b Office of Indian Affairs. \$b Washington Superintendency

B. (From LCRI 26.3B-C) Connect the heading for a head of state, ecclesiastical official, etc., to the corresponding official heading with a "see also" reference instead of the explanatory reference called for in AA21.4D2 and illustrated in AA26.3C1.

Example

100 10 Smith, Alfred Emanuel, \$d 1873-1944
510 10 New York (State). \$b Governor (1923-1928 : Smith)

Note that the reference is made only from the corporate heading to the personal heading, cf. AA21.4D2.

Control Subfield \$w for Cross References

It is necessary to include a control subfield (\$w) for some types of cross references. No control subfield is necessary for simple references. The control subfield should be the first element in the 4XX or 5XX field. It will be followed by \$a and the text of the reference.

Linking References from Pre-AACR2 Headings (Note: Linking references from pre-AACR headings are now *optional*. OCLC NACO participants should **not** code the control subfield to indicate a linking reference from a pre-AACR2 heading unless they have verified that form in the LC database.)

These three control subfields indicate a linking reference:

4XX \$w nna This indicates that the cross reference was a heading which was found in a pre-AACR2 LC record in RLIN or OCLC (known as an "old catalog heading" at LC), and is in a form **compatible** with AACR2 practice.

4XX \$w nnaa This indicates that the cross reference was a heading which was found in a pre-AACR2 LC record in RLIN or OCLC but it is in a form **incompatible** with AACR2 practice.

References from former AACR2 heading

4XX \$w nne This indicates that the cross reference was formerly an AACR2 or AACR2 compatible heading on an existing record.

Earlier/Later References

The following possibilities are used **only** for corporate name 5XX fields when there are earlier/later headings (see section in this manual on **Earlier/Later References** for definition):

5XX \$w a This is used only for 5XX fields which indicate that the cross reference is an **earlier** name of the corporate body.

5XX \$w b This is used only for 5XX fields which indicate that a cross reference is a **later** name of the corporate body.

If a NACO participant is unsure about what code the subfield should contain, he should consult the proper USMARC, RLIN, or OCLC documentation, or contact the Coop Cat liaison.

Linking References from Pre-AACR2 Headings or Former AACR2 Headings

I. Linking references are special types of cross references. They are most often used to record the pre-AACR2 LC form of a heading. NACO participants are no longer required to make linking references from pre-AACR2 headings found in LC bibliographic records online, but they may make them if the cataloger judges them to be useful or if they are required for specified projects (please note: OCLC participants should **not** make linking references from pre-AACR2 headings, due to OCLC's name correction program). Although no longer routinely made, retain a linking reference from a pre-AACR2 headings on an existing authority record. The provisions below are being retained for use in those instances when the linking reference is judged useful and for historical purposes. Even if linking references are not made notify Coop Cat that BFM is needed.

II. Do not give a linking reference from a pre-AACR2 heading if:

A. the reference would normalize to the same form as the heading or another reference on the same record or to the same form as a heading on another record. Instead, give the form in a 667 field: "Old catalog heading: _____" Cf. DCM Z1, Introduction, p. 4-6.

B. there is no one-to-one correspondence between the pre-AACR2 heading and the AACR2 heading, i.e., two or more pre-AACR2 headings will be treated as one heading under AACR2, or one pre-AACR2 heading will be split under AACR2. Instead, in a 667 field give the appropriate information. For the former, use "Includes the old catalog headings: _____; and, _____." For the latter, use "Previous to AACR2 covered by the heading: _____" See LCRI 26, p. 4-6.

III. When changing the heading on an authority record that has already been coded as AACR2 or AACR2 compatible and the former heading is retained as a valid see reference, code the reference as an earlier established form of heading by using the value "e" in \$w, position 3 (\$w nne). Initiate changes to the LC bibliographic records on which the old heading has been used by notifying Coop Cat that BFM is needed.

151 10 Boston (England)

451 10 \$w nne \$a Boston (Lincolnshire)

IV. *Optionally*: Code a reference as the LC pre-AACR2 heading whenever the reference tracing would serve to identify exactly the pre-AACR2 form of the heading found in LC bibliographic records.

New Authority Records

100 10 Bely, Andrey, \$d 1880-1934
400 10 \$w nna \$a Bugaev, Boris Nikolaevich, \$d 1880-1934

100 10 Yeats, W. B. \$q (William Butler), \$d 1865-1939
400 10 \$w nna \$a Yeats, William Butler, \$d 1865-1939

110 20 Library of Congress
410 10 \$w nna \$a United States. \$b Library of Congress

100 10 Luxemburg, Rosa, \$d 1871-1919
400 10 \$w nnaa \$a Luxemburg, Rosa, \$d 1870-1919
[Control subfield coded "do not make" (\$w nnaa) since original birth date was incorrect.]

100 10 KixMiller, William, \$d b. 1885
400 10 \$w nnaa \$a KixMiller, William, \$d 1885-
[Control subfield coded "do not make" (\$w nnaa) since form of date does not follow current AACR2 practice]

V. Standardize obsolete pre-AACR2 heading forms when tracing linking references, even though the linking reference is coded "do not make" (**\$w nnaa**).

100 10 Plunket, Emmeline M. \$q (Emmeline Mary), \$d b. 1835
400 10 \$w nnaa \$a Plunket, Emmeline Mary, \$c Hon., \$d 1835-
400 10 Plunket, Emmeline Mary, \$d b. 1835
[Control subfield coded "do not make" (\$w nnaa) since form of date and subfield c do not agree with current AACR2 practice. Note that in this example, a second 400 is given to trace the form of name found in the linking reference in a valid AACR2 form.]

Earlier/Later References

- I. Earlier/later references are special types of "see also" (5XX) cross references. They are used to record a sequential relationship between headings.
- II. Earlier/later references are normally made only to connect immediately adjacent headings, thus creating a chain of "see also" references leading from one heading to another.
- III. Full information about earlier/later references may be found in the LCRI 26.3B-C, along with several pages of examples. Please refer to that section for a more complete explanation of earlier/later references.
- IV. All headings connected by the references must be represented in machine-readable form, i.e., there must be an NAR in the national authority file, including those for which there are no bibliographic records. All headings and references must be in correct AACR2 form. Establish any heading not yet in the national authority file.
- V. In source citations (670 or 675), generally cite only sources that deal with the immediately preceding and succeeding headings.
- VI. Always give the citation for the item being cataloged in a 670 field. If the work does not contain the name being established, give an explanatory note (e.g., "(name not given)"). Give other source citations as necessary.
- VII. If any other sources give only an earlier or later name, but not the name used in the heading, cite the source in the 675 field. Note that subfield **b** is not used in the 675 field because all information is given in subfield **a**. Do not, however, divide a citation for successive issues of a serial; give the complete citation in the 670 field if any volume contains the heading or in the 675 field if no volume contains the heading.
- VIII. Justification of preceding and succeeding headings is not required for: (1) changes in a government heading because of an official language change; (2) changes involving only a parent body to which the body being established is subordinate.
- IX. In most cases, you will need to both establish your new heading, recording the earlier or later name in a 5XX reference **and** add a 5XX earlier/later reference and 670/675 field to an existing authority record.

New Authority Records

Examples

110 20 American Material Handling Society
510 20 \$w b \$a International Material Management Society
670 Materials handling handbook, 1984: \$b t.p. (International Material Management Society (successor to the American Material Handling Society))

110 20 International Material Management Society
510 20 \$w a \$a American Material Handling Society
670 Materials handling handbook, 1984: \$b t.p. (International Material Management Society (successor to the American Material Handling Society))

110 10 Connecticut. \$b State Commissioners of Fisheries and Game
510 10 \$w b \$a Connecticut. \$b State Board of Fisheries and Game
670 Its Report ... 1895-1896: \$b t.p. (State Commissioners of Fisheries and Game)
675 Connecticut. State Board of Fisheries and Game. Biennial report ... 1913-1914: t.p. (State Board of Fisheries and Game)

110 10 Connecticut. \$b State Board of Fisheries and Game
510 10 \$w a \$a Connecticut. \$b State Commissioners of Fisheries and Game
670 Its Biennial report ... 1913-1914: \$b t.p. (State Board of Fisheries and Game)
675 Connecticut. State Commissioners of Fisheries and Game. Biennial report ... 1911-1912: t.p. (State Commissioners of Fisheries and Game)

New Authority Records

110 20 Dropsie College for Hebrew and Cognate Learning

510 20 \$w a \$b Dropsie University

670 Essays on the occasion of the seventieth anniversary of the Dropsie University, 1909-1979, c1979 (a.e.): \$b t.p. (Dropsie University) verso t.p. (Dropsie Univ., Philadelphia) p. x (organized in 1907; chartered in 1909 as the Dropsie College for Hebrew and Cognate Learning; in 1969 the name was changed to Dropsie University)

110 20 Dropsie University

510 20 \$w a \$a Dropsie College for Hebrew and Cognate Learning

510 20 \$w b \$a Annenberg Research Institute

670 Essays on the occasion of the seventieth anniversary of the Dropsie University, 1909-1979, c1979 (a.e.): \$b t.p. (Dropsie University) verso t.p. (Dropsie Univ., Philadelphia) p. x (organized in 1907; chartered in 1909 as the Dropsie College for Hebrew and Cognate Learning; in 1969 the name was changed to Dropsie University)

670 PPAAnR files \$b (Dropsie University; formerly named Dropsie College for Hebrew and Cognate Learning; later changed name to Annenberg Research Institute)

110 20 Annenberg Research Institute

510 20 \$w a \$a Dropsie University

510 20 \$w b \$a University of Pennsylvania. \$b Center for Judaic Studies

670 Jewish quarterly review (Philadelphia, Pa.). Jewish quarterly review, July/Oct. 1987: \$b t.p. (Annenberg Research Institute)

670 PPAAnR files \$b (Annenberg Research Institute; formerly named Dropsie University; became University of Pennsylvania, Center for Judaic Studies in 1993; located in Philadelphia, Pa.)

110 20 University of Pennsylvania. \$b Center for Judaic Studies

510 20 \$w a \$a Annenberg Research Institute

670 Medoff, J. Collection, 1901-1919 \$b (collection located at University of Pennsylvania, Center for Judaic Studies)

670 PPAAnR files \$b (University of Pennsylvania, Center for Judaic Studies; new name for Annenberg Research Institute, 1993; formerly Dropsie University; located in Philadelphia, Pa.)

670 Field (Sources Found)

This section is organized as follows:

- I. Introduction and Basic Format
- II. Citing the Main Entry
- III. Citing the Title
- IV. Citing the Imprint or Other Date
- V. Citing Numeric/Chronological Designation
- VI. Citing Location of Data Found
- VII. Citing the Data
- VIII. Suggested Conventions for Punctuation, Spacing, Abbreviations
- IX. Citing LC in RLIN & OCLC
- X. Citing LC Minimal Level Cataloging (MLC) Records
- XI. Citing Reference Sources
- XII. Citing the National Union Catalog (NUC)
- XIII. Citing Non-LC Bibliographic Records in RLIN & OCLC
- XIV. Citing In-House Files
- XV. Citing the U.S. Board on Geographic Names
- XVI. Citing Non-Bibliographic Sources
- XVII. Citing Home Page, Gopher, etc. on the Internet

I. Introduction and Basic Format

The 670 field is used to justify the heading and the cross references created. It may also contain further important information which is necessary to identify the person, corporate body, uniform title, or information which can be used to clarify relationships between the heading and other headings in the file.

In most cases it is only necessary to create a single 670 field, citing the work being cataloged and giving the form(s) of the name found therein. **As of the 1996 revision of the DCM Z1 "style and punctuation" are not prescribed. For historical purposes and for those who may be interested the instructions for formulating the 670 field for the work being cataloged are found in sections I-VIII of this section of the manual and may still contain old style examples.**

In certain other cases, it will be necessary to create additional 670 fields, citing other sources where the name was found, such as LC records in RLIN & OCLC or reference sources. **The instructions for formulating this type of 670 field are found in sections IX-XVII of this section of the manual (for style and punctuation, see above paragraph).** Note that it is not always necessary to include a 670 for every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent authority record.

It is **not** necessary to add 670 fields to justify references in the following cases:

1. References justified by rules or rule interpretations only, usually because the reference is derived from inverting, shortening, etc., the heading or giving a substitute form in the heading.
2. References made on the basis of the cataloger's awareness of different romanizations or orthographies.
3. Name/title cross references derived from the work being cataloged, from other works cataloged under the same heading, or from information in standard reference sources. Note: When preparing an authority record for the text of a law under AACR2 25.15A2 or a subject compilation of laws under AACR2 25.15A1, if a source being cited contains an official short title or citation title, cite that title, preceded by the term "citation title" and its exact location, e.g.,

670 Worker's compensation law ... 1980: \$b t.p. (Worker's compensation law of the state of North Carolina) citation title, p. 49 (The North Carolina Worker's Compensation Act)

New Authority Records

4. References made on the basis of information from the National Library of Canada (cf. DCM C2).
5. References to earlier/later headings of corporate bodies reflecting changes due to national or orthographic reform, changes in government headings due to an official language change, or changes involving only a parent body to which the body being established is subordinate.
6. References made on the basis of information from the British Library as part of the English Short Title Catalogue project.
7. References from pre-AACR2 forms on retrospective NARs.

The 670 field for the work cataloged, normally the first 670 in the record, contains the following elements:

\$a Title proper, imprint or other date: \$b first location of data cited (data) other location (data)

Please note that the following changes have been made to the 670 format in the 1993 revision of the DCM Z1. The main entry, formerly required as the first element of the 670, is no longer required. However, if the title is generic in nature ("Minutes," "Report," etc.) or the cataloger feels that the main entry adds pertinent information to the record, it may be cited. Methods for citing main entry are given later in this section. The General Material Designation (GMD) is no longer cited in the 670.

Examples

100 20 Meier-David, Huguette

670 Die kleine Rodung, 1978: \$b t.p. (Huguette Meier-David) p.16 (Huguette Meyer-David; resident of Cologne)

110 20 Chamber Music Players of London

670 Milne, D. Guitar concerto, p1984: \$b label (The Chamber Music Players of London)

110 20 Compagnie générale fiduciaire

410 20 C.G.F.

410 20 CGF

670 Etude sur les codes précision ... 1987: \$b t.p. (Compagnie générale fiduciaire, C.G.F., Dakar)

New Authority Records

Examples for Archival Materials and Manuscripts

If manuscripts or archival collections are being cataloged, no "location of data" is necessary. Normally, it will only be necessary to cite the main entry, due to the generic nature of the "title":

110 20 Burnham, Parry, Williams & Co.

410 20 Burnham, Parry, Williams and Co.

670 Austin, W.L. Papers, 1855-1932: \$b (Burnham, Parry, Williams & Co.)

110 20 Bethlehem Iron Company

510 20 \$w b \$a Bethlehem Steel Corporation

670 Johnston, A. Papers, 1865-1948: \$b (Bethlehem Iron Company; later became the Bethlehem Steel Corporation)

100 10 Fowler, Albert W. \$q (Albert Wose), \$d 1940-

670 Fowler, A.V. Papers, 1923-1970: \$b (Albert W. Fowler; Albert Wose Fowler; Quaker librarian & archivist; b. 1940, son of Albert V. & Helen W. Fowler)

100 10 Tower, Lewis R.

670 Oberlin College. Office of Business and Finance. Records, 1927-1988: \$b (Lewis R. Tower, appointed first business manager of Oberlin College in 1954; retired in 1971)

Example for "Name not given" in the 670

Occasionally, the name being established is not given in the work cataloged. If this occurs, use the phrase "name not given" in the first 670. One or more additional 670s will be necessary in order to justify the heading.

100 10 Breay, Phillis

670 The mine explored, 1850 \$b (name not given)

670 OCLC, Mar. 1, 1994 \$b (hdg.: Breay, Phillis)

NOTE: In citations for publications viewed electronically give information in subfield \$a in the context of the publication rather than how it was viewed; in subfield \$b, give location and information.

670 McMillan newsletter, Jan.-Feb. 1995: \$b t.p. (McMillan Family Association)

670 Reducing your cholesterol, 1996 \$b readme (Improving your diet series)

New Authority Records

II. Citing the Main Entry

According to the 1993 revision of the Z1 section of the DCM, NACO participants are no longer required to cite the main entry in the 670 for the work cataloged. Optionally, a cataloger may cite the main entry, using the following procedures.

If the cataloger decides that the main entry should be included in the 670 field, the form used for the main entry element depends on the type of main entry on the corresponding **bibliographic** record. Determine which of the following cases applies:

- A. the main entry of the bibliographic record is the same as the authority heading being created
- B. the main entry of the bibliographic record is the same as the authority heading being created, but contains further levels of hierarchy than are represented in the authority record
- C. the main entry of the bibliographic record is a personal author or a corporate or conference name other than the authority heading being created

Instructions for each case follow.

A. the main entry of the bibliographic record is the same as the authority heading being created

Represent personal authors by "His" or "Her." If it is not certain which pronoun applies, "Author's" may be used. Represent corporate bodies and conferences by "Its."

Examples

100 10 Leeper, Jean Hallowell, \$d 1939-
670 Her Our Hallowell roots, 1991: \$b t.p. (Jean Hallowell Leeper) p. 21 (b. 1939)

100 10 Lewis, B. L.
670 Author's Linear frequency modulation derived polyphase pulse-compression codes and an efficient digital implementation, 1981: \$b t.p. (B. L. Lewis, Target Characteristics Branch, Radar Div., Naval Research Lab., Washington, D.C.)

110 20 Minnesota Academy of Natural Sciences

New Authority Records

- 670 Its Constitution and by-laws of ... 1873: \$b t.p. (Minnesota Academy of Natural Sciences; instituted 1873)

B. the main entry of the bibliographic record is the same as the authority record being created, but contains further levels of hierarchy than are represented in the authority record

When the main entry of the bibliographic record includes further levels of hierarchy than are represented in the heading, cite these further levels after "Its." Use this technique also in the case of citations of headings for sequential conferences that do not include number, place, or date.

Examples

- 110 20 Smith Science Center
670 Its Dept. of Biochemistry. Catalog of the Smith Science Center Department of Biochemistry publications, 1945-1980, 1986: \$b t.p. (Dept. of Biochemistry, Smith Science Center)
- 111 20 International Conference on Mathematical Physics
670 Its (6th : 1981 : Berlin, Germany). Mathematical problems in theoretical physics, 1982: \$b t.p. (6th International Conference on Mathematical Physics, Berlin (West), 8/11-20/1981)

C. the main entry of the bibliographic record is a personal author or a corporate or conference name other than the authority heading being established

Give the main entry in an abbreviated form, omitting birth/death dates and using initials for forenames. Normally abbreviate corporate body headings by abbreviating words, not by omitting them.

Examples

- 100 10 Elesh, Pamela
400 10 Elesh, Pam
670 Gallant, A. Educating the eye, c1993: \$b p. 79 (Pamela Elesh) p. 3 (Pam Elesh, wife of James N. Elesh)
- 100 10 Allen, Horatio, \$d 1802-1899
670 Jervis, J.B. Papers, 1820-1884 \$b (Horatio Allen; b. 1802; d. 1899)

III. Citing the Title

A. If the title is relatively brief, cite it in full.

B. If the title is long, shorten it by abbreviating words or by using the 3-dot mark of omission after the first four or five words.

When shortening the title, be sure not to omit words such that the subject area of the work is obscured. For example, a book entitled "Recent advances in computer science" might be shortened to "Recent advances in comput. sci." **not** "Recent advances in ...", which would obscure the fact that the work deals with computer science, and wouldn't allow the searcher to be able to distinguish this work from other titles beginning "Recent advances in ..."

Examples:

[whole title]

110 20 Bentley Historical Library

670 Guide to manuscripts in the Bentley Historical Library, 1976

[Note that in this example, it is not necessary to give the name of the library in parentheses, since it appears in its full form in the title of the work. This is the only case where the subfield **b** and data in parentheses may be omitted. See #7 of VII, **Citing the Data.**]

[abbreviated title]

100 10 Bowers, Paul A. \$q (Paul Applegate), \$d 1911-

670 Obstetrical Soc. of Phila. Records, 1946-1993 \$b (Paul A. Bowers)

[mark of omission]

100 10 Hotz, H.

670 The moral and intellectual diversity of races ... 1856: \$b t.p. (H. Hotz)

IV. Citing the Imprint or Other Date

The format for citing the date in the 670 field is governed by how it appears in the bibliographic record for the work cataloged. Generally, they will be the same. Note that for archival and manuscript materials, the date will normally appear as the final element of the 245 field. The date in the authority record **does not** include brackets even when they are used on the bibliographic record.

- A. Other symbols are used in the 670, including the copyright "c" or phonogram copyright "p," question marks, and hyphens.
- B. If the bibliographic record has multiple dates, record them.
- C. If the bibliographic record has both Gregorian and non-Gregorian dates, record only the Gregorian date.

Examples

bibliographic record 260 field:
London : \$b Macmillan, \$c **1986**.

670 field:
George Orwell, **1986**: \$b t.p. (Adrian Quine)

bibliographic record 260 field:
Kyōto : \$b Benridō, Taishō 15 [**1926**]

670 field:
Shina kachōga satsu, **1926**: \$b colophon (Tanaka Denzaburō [in rom.])

bibliographic record 260 field:
Washington : \$b NASA, \$c **c1974, distributed 1975**.

670 field:
Apollo to the moon, **c1974, distributed 1975**: \$b cover (Harry S. Galene)

bibliographic AMC record 245 field:
\$k Records, \$f **1880-1981**.

670 field:
Va. Coal and Iron Co. Records, **1880-1981**: \$b (Holston Coal Company)

V. Citing Numeric/Chronological Designation

- A. If the item cataloged is the first volume of a numbered multipart item, record the date of publication as an open date.
- B. Use a chronological designation instead of a publication date when giving a 670 for a serial other than a monographic series. If there is no designation date, use the numeric designation plus and the date of publication. Indicate, following the designation statement, if a surrogate was used.
- C. Do not translate designation statements.
- D. Capitalize the first word or abbreviation used with the numeric designation.
- E. The cataloger may use "etc." to avoid giving more than two locations or a sequence of locations (e.g., "p. 316, etc." for "p. 316-325, 329-331, 342").

Examples

If the work being cataloged is:

The Verdict, vol. 2, no. 1 (Feb.. 1975)

cite as:

670 The Verdict, Feb. 1975: \$b t.p.

["Feb. 1975" is the designation date]

NOT 670 The Verdict, vol. 2, no. 1 (Feb. 1975): \$b t.p.

670 Studies in Confederate history, no. 1 (1966), surrogate: \$b t.p.

NOT 670 Studies in Confederate history, 1966, surrogate: \$b t.p.

670 Grunts, 1976: \$b v. 1-3, t.p. (Charles R. Anderson) v. 2, p. 316, etc. (Ex-Marine; b. Elgin, Ill.; teaches English in Japan)

670 A New image of man ... 1977- : \$b pt. 1, p. i (International Research Institute for Man-Centered Environmental Sciences and Medicine)

VI. Citing Location of Data Found

The 670 field for the work being cataloged specifies the form(s) of the heading found in the piece and indicates **where** in the piece the forms are found. Note that for most archival and manuscript materials it is not necessary to supply the location, since these materials have no standard source of information (such as a title page). In these cases, add subfield **b** immediately after the date.

A. Generally cite the chief source of information first, followed, if necessary, by other sources. Note that when the cover, or any other source, substitutes for the chief source it will be cited as "t.p." Use standard terms and abbreviations including:

t.p.	verso t.p.	map recto
jkt.	label	p. 3 of cover
cover	colophon	back cover

B. If the information comes from a specific page, cite the page. Omit brackets when citing unnumbered pages.

C. If the information comes from the cover, cite as:

cover	(for front cover)
p. 2 of cover	(for inside front cover)
p. 3 of cover	(for inside back cover)
p. 4 of cover	(for back cover)

Examples

670 Conflict and cooperation in police labour relations, c1980: \$b t.p. (Richard L. Jackson)
p. 239 (Professor Rick Jackson, School of Business, Queen's Univ.)

670 Die kleine Rodung, 1986: \$b t.p. (Huguette Meier-David) verso t.p. (Huguette Meier
David) p. 16 (Huguette Meyer-David)

BUT

670 Jervis, J.B. Papers, 1820-1884: \$b (Horatio Allen; b. 1802; d. 1899)
[no location given, since this is an archival collection]

VII. Citing the Data

This section provides information regarding citations of the name as used in the heading or in cross-reference tracings, and any other information given in addition to name citations.

A. General Information

1. Give the name as it appears in full in the source being cited (including the work being cataloged) -- **regardless of how identical the consequent citation is with the heading, in cross-reference tracings, or in citations from other sources.** Note that in some cases, it is not necessary to repeat the form of name after subfield **b** if it is found in the bibliographic title (see #7 below).
2. If the name or information about the name appears in the same form in different locations in a single source, do not repeat this information.
3. If the name cited is not in the nominative case, it is not necessary to amplify the citation to "explain" this, although a mark of omission may be used to indicate that surrounding words have been omitted.
4. All data must be given in standard romanized form. It is understood that any romanization transcribed is the cataloger's romanization. When transcribing a romanized form found in a non-roman item, add after it the bracketed phrase: **[in rom.]**. In such languages as Arabic and Hebrew, vowels are commonly omitted from the orthography of texts, and the cataloger supplies the missing vowels in transcribing data. When transcribing text that does include the vowels, add after it in brackets **[voc.]** or **[part voc.]** to note vocalization, as appropriate.
5. Data other than names should be given in as brief a form as possible. Abbreviate liberally. Generally translate data in foreign languages into English, paraphrasing or summarizing where possible. However, **do not** translate names and titles, or other distinguishing terms that could be used in the 1XX field to break a conflict.
6. To facilitate international contribution and use of records in the authority file, when giving dates use the abbreviated forms for months given in AACR2 Appendix B.15. (The U.S. practice for recording dates using numerals differs from the practice in some other countries). **Do not change the style of dates in existing records.**
7. If the entire heading (1XX) appears exactly the same in the title of the work cited, it is not necessary to repeat the heading in parentheses. This is the **only** case where the parenthetical statement may be omitted. (See example for the Bentley Historical Library, in section on **Citing the Title** in this manual.)

New Authority Records

B. Personal Names

1. Record all forms of the name found on the chief source of the item being cataloged. Be selective about citing forms of the name not on the chief source. Record only those judged to add important information about the name (such as a fuller form) or those that justify cross references.
2. Cite birth and death dates explicitly whenever they appear in sources. Use abbreviated forms for months (see 6 above).
3. Do not abbreviate or translate distinguishing terms such as titles of address or office that appear with personal names in conjunction with the name in statements of responsibility or in reference sources which potentially could be used as part of the heading or in a reference. These may be needed to resolve a conflict later.

Examples of such titles

kand. biol. nauk
Ph. D.
Rev.

Examples

- 670 Acid rain and waterfowl, 1987: \$b t.p. (Paul Hansen; Upper Miss. Reg. Repr., Izaak Walton League of Amer.) cover (Paul W. Hansen)
- 670 A History of Iowa, 1937: \$b t.p. (Samuel S. Gribble) p. 105 (b. July 7, 1861; d. Aug. 23, 1943)
- 670 A scuola da Bettina, 1986: \$b t.p. (M. Elisabetta Mazza) p. 15 (Maria Elisabetta Mazza; family name, Bettina; b. Jan. 21, 1886) p. 206 (d. Aug. 29, 1950)

New Authority Records

C. Corporate Names and Conference Names

1. In establishing corporate headings, when elements of a hierarchy not included in the heading appear in a source found, include in the data cited all the hierarchy required to justify needed cross references, but elements irrelevant to the particular heading being established may be omitted.

Each element of hierarchy in a heading or its cross references is established separately.

Examples

110 20 San Francisco Widget Research Institute. \$b Employee Benefits Division

410 20 San Francisco Widget Research Institute. \$b Personnel Dept. \$b Employee Benefits Division

670 Top U.S. widget executives benefit packages, 1986: \$b t.p. (San Francisco Widget Research Institute, Personnel Department, Employee Benefits Division)

110 20 San Francisco Widget Research Institute. \$b Personnel Dept.

670 Top U.S. widget executives benefit packages, 1986: \$b t.p. (San Francisco Widget Research Institute, Personnel Department)

2. For conferences, generally record the place and date of the meeting, even if the qualifiers are not included in the heading being established.

Example

111 20 Congreso Internacional de Tribunales de Cuentas

670 Memoria del Primer Congreso Internacional de Tribunales de Cuentas, 1954: \$b t.p.
(2. Congreso Internacional de Tribunales de Cuentas; held in Havana, 2-9 Nov. 1953)

VIII. Suggested Conventions for Punctuation, Spacing, Abbreviations

Note: These guidelines are retained as historical information and for understanding information already present in 670 fields since style and punctuation are not prescribed as of the 1996 revised DCM Z1.

A. The date or edition statement of the source is followed by a colon if the next element is the first unit of location. It is followed by no punctuation if the next element is in parentheses. If it is an open date ending with a hyphen, it is followed by a single space before the colon (e.g., 1909- :).

B. Do not use brackets around numbers for unnumbered pages, volumes, etc.

C. Information after a location is cited within parentheses.

D. Use a single space and no punctuation to separate the various locations and data. Exception: use a semicolon to separate information cited from different issues of a serial.

E. Give citations of the name in full, but abbreviate other words liberally whenever the context makes the meaning clear.

Examples

- 670 Looking at America's canyons, c1983: \$b t.p. (P. Jonathan Phillips) cover p. 4
 (Geology Dept. Chair, Univ. of British Columbia)
- 670 Police administration statistics, 1972: \$b t.p. (Statistics Canada, Judicial Division);
 1973/74: t.p. (Statistics Canada, Judicial Statistics Division)
- 670 LC in RLIN, 8/31/93\$b(hdg.: Calisch, Edward Nathaniel, 1865-1946; usage: Edward
 N. Calisch)
- 670 The History of the Dakota Presbytery of the Presbyterian Church in the United States
 of America, 1892: \$b t.p. (Presbytery of Dakota) p. 3 (org. 1844)
- 670 LC in OCLC, Nov. 24, 1992 \$b (hdg.: Enthoven, Reginald Edward, 1869-1952;
 usage: R.E. Enthoven)
- 670 OCLC, 9/24/91\$b(hdg.: Harris, John Lowrey, 1953- ; usage: John Lowrey Harris)

New Authority Records

IX. Citing LC in RLIN & OCLC

If a search of the RLIN and/or OCLC bibliographic files retrieved any instances of pre-AACR2 usage of the heading on Library of Congress records input by LC (i.e., not transcribed by another library--see Appendices III & IV on Defining the LC Catalog in RLIN and OCLC), record this in a 670 field. (For LC minimal level cataloging (MLC) records retrieved, see next section.)

The information found in these records may be used, as appropriate, in formulating the heading.

The format for the 670 field citing LC in RLIN or OCLC is:

670 LC in RLIN, [date of search]\$b(hdg.: [data]; usage: [data])
670 LC in OCLC, [date of search] \$b (hdg.: [data]; usage: [data])
670 LC database, [date of search] \$b (hdg.: [data]; usage: [data])

(The last format is used if the library has direct access to LC's catalog through Internet.)

A. If the **heading** on the LC bibliographic record(s) matches the **usage** on the work you are cataloging, generally consider the heading on the LC record to be AACR2 and do not examine or record the usage from the LC record. Use the heading from the LC record as the NACO heading.

NOTE: **Usage** on bibliographic records refers to literal transcriptions of the forms of name usually found in a records' statement of responsibility. Literal transcriptions may also appear in other parts of the bibliographic record, such as in the title proper or in a quoted note. Be sure that you are recording the transcription of the name **as it appeared on the publication** and not as it was formulated because of cataloging rules. **Variant** refers to forms of the name other than usage.

Examples

100 10 Grant, James,\$d1771 or 2-1833
670 The narrative of a voyage of discovery ... 1803:\$bt.p. (James Grant, lieutenant in the Royal Navy)
670 LC in RLIN, Aug. 23, 1993\$b(hdg.: Grant, James, 1771 or 2-1833)

110 20 Asesoramiento y Gestión Económica, S.A.
410 20 AGECO
670 Datos básicos sobre la evolución ... 1972: \$b cover (Asesoramiento y Gestión Económica, S.A.) t.p. verso (AGECO)
670 LC in OCLC, 2/19/93 \$b (hdg.: Asesoramiento y Gestión Económica, S.A.)

New Authority Records

B. If the heading on the LC bibliographic record(s) does **not** match the usage on the work you are cataloging, consider the usage(s) on the LC records and on your item to determine the AACR2 heading. Often the pre-AACR2 forms will contain fuller forms of forenames or dates to be used as additions. Record both the LC heading **and** any usage(s) found. Use a semicolon to separate the heading from the usage.

Examples

```
100 10 Guillermin, Gilbert
400 20 $wnna$aGuillermin de Montpinay, Gilbert
670    Journal historique de la révolution de la partie de l'est de Saint-Domingue ...
        1810:$bt.p. (Gilbert Guillermin, chef d'escadron attaché à l'Etat-major de l'armée de
        Saint-Domingue)
670    LC in RLIN, 8/24/93$b(hdg.: Guillermin de Montpinay, Gilbert; usage: Gilbert
        Guillermin)
        [Note: this example reflects RLIN spacing practice]
```

Do not code the **w** control subfield to show that the tracing refers to a pre-AACR2 heading, if the database being searched is OCLC.

```
100 10 Phelps, Reginald H. $q (Reginald Henry)
400 10 Phelps, Reginald Henry
670    The German scientific heritage, 1962: $b t.p. (Reginald H. Phelps)
670    LC in OCLC, 1/29/93 $b (hdg.: Phelps, Reginald Henry; usage: Reginald H. Phelps)
```

In this example, the cross reference is optional, since the primary elements are not affected. See LCRI 26.2.

C. If a new heading would be the same as another one on pre-AACR2 records, try to resolve the conflict. For instance, add dates or qualifiers to the newly established heading if possible. If you cannot resolve the conflict, a non-unique name record will be needed.

New Authority Records

X. LC Minimal level cataloging (MLC) records and Less than fully authenticated serial records

Authority work normally has not been done for headings used in minimal level cataloging records (Encoding level Leader/17 fixed field in the bibliographic record = 7) and less than fully authenticated serial records (authentication field 042 does not contain any one of the codes **lc**, **lcd**, or **nle**). Headings on LC MLC records or less than fully authenticated serial records may or may not be properly established AACR2 forms. These headings should be verified to ensure that they conform to AACR2 and the LCRI.

A. Therefore, in preparing authority records, ignore MLC records and less than fully authenticated serial records unless the heading, usage, or statement of responsibility provides important information not found on the piece or in full-level, pre-AACR2 records.

B. Note, however, that statements of responsibility found in these records should be taken into account as usage, but the headings do not have equal status with those found on full-level, pre-AACR2 records, even when they provide additional information.

Thus, for example, if the piece does not contain the author's birth date and there is both a full-level, pre-AACR2 heading on an LC bibliographic record without a birth date and an LC MLC record with a date, the AACR2 heading will **not** include the date. (Cf. LCRI 22.17). The MLC heading with the date will be cited in the 670 field for informational purposes only.

However, if there is no existing full-level, pre-AACR2 bibliographic record and there is an LC MLC record with the date, the date will appear in the heading.

C. Notify Coop Cat that BFM will be required if changes to MLC records or less than fully authenticated serial records will be necessary.

Format for MLC heading(s):

670 LC in RLIN, [date of search]\$b(MLC hdg.: [data]; MLC usage: [data])

670 LC in OCLC, [date of search] \$b (MLC hdg.: [data]; MLC usage: [data])

Format for full-level, pre-AACR2 and MLC headings:

670 LC in RLIN, [date of search]\$b(hdg.: [data]; MLC hdg.: [data]; MLC usage: [data])

670 LC in OCLC, [date of search] \$b (hdg.: [data]; MLC hdg.: [data]; MLC usage: [data])

New Authority Records

Format for less than fully authenticated serial heading:

670 LC in RLIN, [date of search] \$b(Less than fully authenticated serial hdg.: [data])

670 LC in OCLC, [date of search] \$b (Less than fully authenticated serial hdg.: [data])

Examples

100 10 Schwarz, Frederic

670 German-American relations, 1945-1960, 1982:\$bt.p. (Frederic Schwarz)

670 LC in RLIN, Feb. 24, 1993\$b(hdg.: Schwarz, Frederic; MLC hdg.: Schwarz, Frederic, 1920-)

100 10 Charles, Lloyd,\$d1945-

670 Housing construction in Jamaica, 1988:\$bt.p. (Lloyd Charles)

670 LC in RLIN, 5/27/93\$b(MLC hdg.: Charles, Lloyd, 1945-)

100 10 Houlihan, Diane, \$d 1937-

670 United States foreign relations with China, 1987: \$b t.p. (Diane Houlihan)

670 LC in OCLC, Sept. 7, 1993 \$b (Less than fully authenticated serial hdg.: Houlihan, Diane, 1937-)

110 20 Barrington & Wilder

410 20 Barrington and Wilder

670 Its Records, 1875-1910\$b (Barrington & Wilder)

670 LC in OCLC, 7/20/93 \$b (MLC hdg.: Barrington and Wilder; MLC usage: Barrington & Wilder)

XI. Citing Reference Sources

In certain cases AACR2 and the LCRIs require the cataloger to search reference sources beyond the work in hand. Examples: 22.3B2 (Names in vernacular and Greek or Latin forms), 22.3C ("well established in English-language reference sources"), LCRI 22.13B (saints) and LCRI 23.2 (*Rand McNally Commercial Atlas and Marketing Guide*).

Further research is also needed to resolve conflicts. This will be especially important for common names.

New Authority Records

A. When doing extra research, record the information in a 670 field and take the information into account when formulating the heading.

B. Use abbreviations when citing standard reference sources, including a year of publication or edition. Include location of data found **unless** the reference source is a strictly alphabetized source, such as the *Dictionary of American Biography*, *Who Was Who*, or an encyclopedia.

Examples:

- 670 Nat. fac. dir., 1987\$b ([data])
- 670 Brockhaus, 1974: \$b Bd. 19, p. 823 (under Walkenried: Zisterzienserabtei W.; founded 1127)
- 670 New Cath. enc. \$b (Guibert of Gembloux; Benedictine abbot; b. ca. 1125; d. Feb. 22, 1213; became abbot of Gembloux, 1193)
- 670 DAB \$b ([data])
- 670 Martindale-Hubbell, 1992: \$b v. 6, p. IL311P (Bruce, Joseph J.; b. 1952)
- 670 Baker, 8th ed.: \$b (Loewengard, Max Julius; b. Oct. 2, 1860, Frankfurt am Main; d. Nov. 19, 1915, Hamburg; German writer on music, teacher, and composer)

XII. Citing the National Union Catalog (NUC)

Catalogers may need to consult the NUC when seeking additional information about a heading. Note that headings found in the NUC are **not** considered authoritative pre-AACR2 headings. If, however, you have genuine cause to search the NUC or NUC pre-1956 (primarily for resolving a conflict) and find useful additional information, record the information found in a 670 field.

Examples

- 100 10 Hunt, John, \$d 1775-1848
- 670 His Report of the proceedings on an information filed ex officio ... 1811: \$b t.p. (John Hunt)
- 670 NUC pre-56 \$b (Hunt, John, 1775-1848)
- 100 10 Cater, Katherine, \$d 1945-
- 670 Her Legal research for librarians, 1968: \$b t.p. (Katherine Cater)
- 670 NUC 1968-72 \$b (Cater, Katherine, 1945-)

XIII. Citing Non-LC Bibliographic Records in RLIN & OCLC

Note: In constructing headings and references, and recording information, NACO participants may make use of all bibliographic records in the file against which the searching and cataloging is being done.

Non-LC libraries' records in RLIN and OCLC may be cited in 670 fields, and usage found in these records may be used in formulating the AACR2 heading.

A. Format for citing these records is as follows:

670 RLIN, [date of search]\$b(hdg.: [data]; usage: [data])

670 OCLC, [date of search] \$b (hdg.: [data]; usage: [data])

Take heading data from any appropriate field, such as the 1XX, 6XX, or 7XX field. It is only possible to take usage information from the 5XX field if it is in a quoted note. Give usage information (normally found in the statement of responsibility in the 245 field) if available. Do **not** list the NUC symbol of the library that cataloged the bibliographic record.

Examples

670 RLIN, Aug. 24, 1993\$b(hdg.: Pacaud, Jean Jacques, 1772- ; usage: J.J. Pacaud)

670 RLIN, 8/23/93\$b(hdg.: Wm. E. & J. Sibell; W.E. & J. Sibell)

670 OCLC, April 23, 1993 \$b (hdg.: Gagen, V. A. (Vladimir Aleksandrovich), b. 1874;
usage: V.A. Gagen)

670 OCLC, 1/8/93 \$b (hdg.: Lloyd, Richard Douglas, 1924-)

XIV. Citing In-House Files

It is possible to cite institutional in-house (usually manual) files in a 670 field. Do not add full histories or biographies.

A. It is suggested that you use your institutional NUC symbol, followed by the word "files," subfield **b** and data. It is not necessary to qualify what sort of file you consulted. Do not give local call numbers or classification schemes in your citation.

Examples

100 10 Freeman, Constant, \$d 1757-1824

400 10 Freeman, Const. \$q (Constant), \$d 1757-1824

670 U.S. Dept. of the Treasury. Fourth Auditor's Office. Letter from the secretary of the Navy, transmitting a statement of the expenditures and application of the moneys drawn from the treasury on account of the Navy ... 1821: \$b folded leaf (Const. Freeman, fourth auditor)

670 MWA/NAIP files \$b (hdg.: Freeman, Constant, 1757-1824; note: joined U.S. Army, 1st Lt., Nov. 9, 1776; reached rank of col.; hon. disch., June 15, 1815; auditor of the U.S. Navy Dept.)

100 10 Meeker, George H. \$q (George Herbert), \$d b. 1871

670 Biographical memoir of Edgar Fahs Smith, 1936: \$b t.p. (George H. Meeker)

670 PU-Ar files \$b (George Herbert Meeker; b. 1871)

100 10 Wallace, Robert J. \$q (Robert John), \$d 1846-1909

670 Trevor's Taxes on succession, 1881: \$b t.p. (Robert J. Wallace, of the Legacy and Succession Duty Office)

670 MoSU-L/NLT files \$b (hdg.: Wallace, Robert John, 1846-1909)

100 10 Richardson, Hannah White, \$d 1811?-1882

670 White, J. Papers, 1796-1906: \$b (Hannah White Richardson)

670 PHC files: \$b (Hannah White Richardson; b. 1811?; d. 1882; Quaker author of spiritual works and founder and benefactor of Medical College of Pennsylvania)

XV. Citing the U.S. Board on Geographic Names

Apply the following for current place names:

1) For names in the United States, base the heading on the form found in the Geographic Names Information System (GNIS) (<http://www-nmd.usgs.gov/www/gnis/gnisform.html>). A recent edition of the *Rand McNally Commercial Atlas and Marketing Guide* may also be used when access to the World Wide Web is not available.

2) For names in Australia and New Zealand, base the heading on the form found on the GEOnet Names Server (GNS) (<http://164.214.2.53/gns/html/index.html>). A gazetteer published within the last two years may also be used when access to the World Wide Web is not available.

3) For names in Canada, use the heading provided by the National Library of Canada (NLC).

4) For names in Great Britain, base the name on a recent edition of *Bartholomew Gazetteer of Places in Great Britain*.

5) For other names, base the heading on the form found in the work being cataloged together with a consideration of the form found on GNS (or an appropriate gazetteer if access to the World Wide Web is not available).

Examples

670 BGN, May 13, 1989 \$b (Coast [brief] Province; 3°00'S, 39°30'E)

670 BGN, July 7, 1992 \$b (Provincia di Varese [Varese = brief]; 44°22'N, 9°37'E)

670 GEOnet May 21, 1996 \$b (Mariental, Namibia; PPL, 24°38'S, 17°58'E)

XVI. Non-bibliographic sources

Occasionally the name of a personal author or a corporate body may be verified by telephone or other means. In such cases, record the information in a 670 field.

Give the non-bibliographic source, the date, and the information. The source can be given specifically ("Letter from author," "Phone call to publisher," etc.) or in general terms ("information from author," "information from publisher," etc.). When noting a specific source, it isn't necessary to show how information was received, e.g. that letter was received via FAX rather than via mail. When a telephone call to a publisher/agency/organization is cited, usually give the name of the group called, rather than the title or name of the person contacted.

Examples:

- 670 Phone call to Timber Mgt., 5/12/93 \$b (not same as United States, Forest Service, Timber Management Research; Timber Mgt. is subord. to National Forest System, a branch of Forest Serv.; Timber Mgt. Res. was subord. to Forest Serv. Research, a different branch of Forest Serv., and became Forest Management Research ca. 1991)
- 670 Personal communication from author, Sept. 1, 1993 \$b (rare book cataloguer; b. Deborah J. Jackson on 26 July 1958 in Newport Beach, Calif.)
- 670 Phone call to H. Jones, Jan. 31, 1992 \$b (Harry Jones is the real name of Lionel James)
- 670 Information from publisher, Feb. 6, 1991 \$b (James Allan's middle name is Stephen, not Steven)
- 670 E-mail from U. Tex. at Arlington, Jan. 30, 1996 \$b (James Edwin Thayer; Ph.D. in linguistics from Ind. U. 1973; M.S. in materials sci. from U. Tex. at Arlington in 1987)

New Authority Records

XVII. Citing Home Page, Gopher, etc. on the Internet

Give the name of the home page, gopher, etc. and the date it was consulted. In subfield \$b, give a location, if appropriate, and the information found. Generally, don't include the URL (Uniform Resource Locator) since the address often changes.

- 670 British Oceanographic Data Centre WWW Home page, Sept. 6, 1995 \$b (BODC, est. Apr. 1989, developed British Oceanographic Data Service (BODS))
- 670 Harvard Business School Publishing Corporation gopher, Nov. 23, 1994 \$b main menu (Harvard Business School Publishing Corporation) readme (Harvard Business School Publishing)
- or 670 Internet, URL: gopher://johnnymac.harvard.edu:70/11/hbspc, Nov. 23, 1994 \$b main menu (Harvard Business School Publishing Corporation) readme (Harvard Business School Publishing)

675 Field (Sources Not Found)

The 675 field is used to record sources in which no information about the person, body, or title was found. It is not always necessary to include in the 675 every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent record. The 675 is also used to document earlier/later names not found in the work cataloged.

I. The 675 field is not repeatable. Cite all sources in one continuous paragraph. Abbreviate source citations and separate them with a semicolon. Use subfield **a** before each separate source.

Examples

675 DAB; \$a WWasWAm; \$a Enc. Brit., 15th ed.

675 WW in sci. in Europe, 1985; \$a Cur. contents add. dir., Sci & Tech., 1985; \$a DNB; \$a Boase; \$a Aust. dict. of biog.

II. When using the 675 to document earlier or later names not found in the work cataloged, do not use subfield **b** to separate the bibliographic data from the heading data. Subfield **b** is not valid for the 675 field.

Examples

110 20 American Enterprise Association

510 20 \$w b \$a American Enterprise Institute for Public Policy Research

670 Who gets the money? 1940: \$b t.p. (American Enterprise Association)

675 Nuclear energy, a reassessment, c1980: t.p. (American Enterprise Institute for Public Policy Research)

110 20 American Enterprise Institute for Public Policy Research

410 20 American Enterprise Institute

510 20 \$w a \$a American Enterprise Association

670 Nuclear energy, a reassessment, c1980: \$b t.p. (the American Enterprise Institute for Public Policy Research) cover (American Enterprise Institute)

675 Who gets the money? 1940: t.p. (American Enterprise Association)

663/664 Fields (Complex See Also and See References)

Simple cross references are preferred over complex cross references, but if necessary, NACO participants may use the 663 or 664.

The **663** field contains the explanatory text and the headings referred to that are required when relationships exist between an established name and other established names that cannot be adequately conveyed by one or more simple cross references generated from the 5XX fields. (See also LCRI 22.2B and LCRI 26.2D.) These are often used in the case of authors using two or more pseudonyms or joint pseudonyms. 5XX references should contain the subfield **\$w** with the 4th position set to **c** (reference not displayed, field 663 used). Subfield **b** is used to list the related established headings to which the heading in field 1XX of the record refers.

The **664** field contains the explanatory text and the headings referred to that are required when relationships exist between an unestablished name and one or more established names that cannot be adequately conveyed by simple cross references generated from 4XX fields in the established heading records. 4XX references contain the subfield **\$w** with the 4th position set to **b** (reference not displayed, field 664 used). Subfield **b** is used to list the related established heading to which the heading in field 1XX of the record refers. 664 fields are rarely used, cf. *US MARC Authority Format*, 664 Complex See Also References, LC Guidelines.

663 Example

100 10 Rich, Barbara

500 10 \$w nnnc \$a Jackson, Laura (Riding), \$d 1901-

500 10 \$w nnnc \$a Graves, Robert, \$d 1895-

663 Joint pseudonym of Laura (Riding) Jackson and Robert Graves. For works of these authors written under their own names, as well as a listing of other names used by Laura (Riding) Jackson, search also under: \$b Graves, Robert, 1895- \$b Jackson, Laura (Riding), 1901-

100 10 Graves, Robert, \$d 1895-

500 10 \$w nnnc \$a Rich, Barbara

663 For works of this author written in collaboration with Laura (Riding) Jackson, search also under: \$b Rich, Barbara

New Authority Records

100 10 Jackson, Laura (Riding), \$d 1901-
500 10 \$w nnnc \$a Rich, Barbara
500 10 \$w nnnc \$a Riding, Laura, \$d 1901-
500 10 \$w nnnc \$a Vara, Madeleine, \$d 1901-
500 10 \$w nnnc \$a Outcome, Lilith, \$d 1901-
500 10 \$w nnnc \$a Reiter, Lilian, \$d 1901-
500 00 \$w nnnc \$a L. R., \$d 1901-
663 For works of this author written under other names, search also under: \$b Riding, Laura, 1901- \$b Vara, Madeleine, 1901- \$b Outcome, Lilith, 1901- \$b Reiter, Lilian, 1901- \$b L. R., 1901- \$a For works written in collaboration with Robert Graves, search also under: \$b Rich, Barbara

664 Example

100 10 Reger, Max, \$d 1873-1916. \$t Dies irae
664 For this movement included in the composer's unfinished Requiem search under \$b Reger, Max, 1873-1916. \$t Requiem (Mass)

100 10 Reger, Max, \$d 1873-1916. \$t Totenfeier
664 For this movement included in the composer's unfinished Requiem search under \$b Reger, Max, 1873-1916. \$t Requiem (Mass)

100 10 Reger, Max, \$d 1873-1916. \$t Requiem (Mass)
400 10 \$w nnnb \$a Reger, Max, \$d 1873-1916. \$t Totenfeier
400 10 \$w nnnb \$a Reger, Max, \$d 1873-1916. \$t Dies irae

667 Field (Nonpublic General Note)

The 667 is used to give information of permanent value and general interest that would be useful to catalogers at LC and other institutions. Separate 667 fields may be given in any order.

Examples

Not the same as:

Cannot identify with:

Reinvestigate before using again

Change heading if name continues to be used

For works issued before/after [date] (to be used for official language changes)

Pseudonyms not found on published works:

Please note that it is probably not necessary to put in a "Not the same as" note if the heading has already been distinguished by the addition of dates of other qualifiers. However, if a heading **without** qualifiers looks similar to one **with** qualifiers, a 667 note might be appropriate. For example, the NACO participant may wish to create a heading for **Summers, John A.**, and during routine searching, finds a heading in the NAF for **Summers, John A. \$q (John Adam)**. If it is known that these are two different people, create a separate record for **Summers, John A.** and add a 667 to each record which reads: "Not the same as: [heading in the other record]."

Example:

(existing record in the NAF; added 667)

100 10 Imray, James F. \$q (James Frederick), \$d 1829?-1891

400 10 \$w nna \$a Imray, James Frederick, \$d 1829?-1891

667 Not the same as: Imray, James

670 nuc89-14292: His North Pacific pilot [MI]1870 \$b (hdg. on Cst rept.: Imray, James Frederick, 1829?-1891)

670 LC data base, April 17, 1990 \$b (hdg.: Imray, James Frederick, 1829?-1891; usage: James F. Imray)

(new record being added)

100 10 Imray, James

667 Not the same as: Imray, James F. (James Frederick), 1829?-1891

670 The interesting history, of little King Pippin, 1820: \$b t.p. (James Imray; publisher, 20 Featherstone St., City Road, London)

Provisional Authority Records

If a heading cannot be satisfactorily established according to the rules because of inadequate information about the person, corporate body, or uniform title the heading represents, NACO participants may create a **provisional** heading for it. To do so, code the Level of establishment fixed field (008/33 [RLIN = STH; OCLC = Auth status]) c.

NACO participants may create provisional authority records in the following situations:

1. There are some cases when no information about the heading is available, and the heading must therefore be established in a form other than that specified in the rules.
2. If the contributing library does not have the language expertise to establish the heading as a fully established authority record; this would include situations where the library lacks adequate reference sources for research or where the cataloger is not confident of his ability to determine the correct grammatical form of heading.
3. If the contributing library is unable, due to limited resources or other constraints, to complete related authority work or to determine the appropriate reference structure that is required for fully established headings.

In no case will NACO participants create provisional authority records for headings that conflict (including normalization) with already established headings. The Cooperative Cataloging Teams are prepared to provide language expertise, etc., to NACO participants on request, so that such headings and references can be fully established at the time they are contributed.

This option is not to be used for NARs contributed by NCCP libraries in support of their NCCP bibliographic records, i.e., those records with "lcncpp" in the 042 field.

For information on upgrading provisional headings, see the section on **Provisional Headings** in the **Additions and Changes** section of this manual.

Preliminary Authority Records

Preliminary authority records (Level of establishment fixed field 008/33 [RLIN = STH; OCLC = Auth status] = **d**) were created by LC Catalog Management and Publication (CMP) staff and are created as part of cooperative retrospective projects, e.g., the University of Chicago retrospective cataloging project. Preliminary authority records were also contributed by Cornell University in its retrospective conversion project for headings used in records for non-current serial titles in the humanities. NACO participants may create preliminary records. NACO participants are advised to consult with their Coop Cat liaison to discuss the creation of preliminary records before contributing them. Preliminary records may also be upgraded by NACO participants. (See section on **Preliminary Records** in the **Additions and Changes** section of this manual.)

Queries to the Library of Congress

Queries to LC are sent by the NACO Coordinator via electronic mail. There are two categories of queries:

1. Reporting Bibliographic File Maintenance (BFM). NACO participants must notify Coop Cat of changes to headings. Normally, the text of this type of query will be as follows:

The following new NARs will require BFM at LC:

nr 93-18463

nr 93-18472

no 93-2846

no 93-2857

The following updated NAR will require BFM at LC:

n 85-18375

2. Other Queries. We are asked to research problems as fully as possible before referring them to LC. These may include:

a. NLC -- asking LC to verify a Canadian corporate heading with the National Library of Canada.

b. Language queries (see section on **Provisional Records** in this section).

c. Request for LC staff to check authority record for errors. After independent status is granted, NACO participants may request that Coop Cat review individual records if necessary.

Section II

Additions and Changes to Authority Records

Additions and Changes to Authority Records

General Information

Almost as common as the need to create a new authority record is the need to alter a record already in the file. New information can be received in various ways (e.g., new cataloging, investigation in response to a query) and may be significant enough to add to the permanent authority record.

Normally a new reference or a change in heading must be justified by the addition of new information to the authority record. Many other types of data can be added to the authority record when judged useful for proper identification.

Change an authority record when errors in headings or cross references are discovered. When the published work for an item cataloged through the CIP program shows a change in the form of name of a person, corporate body, or uniform title, change the authority record; add the published source after the CIP source in the 670 field to document the change. Changes in the imprint date, choice of main entry, and changes in title proper do not require changes to authority records created for CIP items.

Notify Coop Cat about BFM needed when changing the 1XX heading.

Not all authority records in the NAF have been coded **c** (AACR2) or **d** (AACR2 compatible) in Descriptive Cataloging Rules 008/10. These headings must be coded for AACR2 at the first instance of use. Refer authority records for headings that are totally invalid under AACR2 to Coop Cat.

PLEASE NOTE: Generally, do not add or take away any information (including dates--see LCRI 22.17) to authority **headings** (1XX) coded AACR2 or AACR2 compatible (Descriptive cataloging rules fixed field 008/10 will be coded **c** or **d**) unless there is a documentable error or it is specified in the rules, for example if birth dates become available for a heading with "flourished" dates (cf. LCRI 22.1, page 2). Keep in mind that while it may not be possible to add the information to the 1XX, it is possible to add it in a new 670 field. (Example: LC has a fully established, AACR2 authority record for Smith, John Henry, 1911- in the file, and the NACO participant knows his death date. Do not add the death date to the heading (cf. LCRI 22.17, p. 2), but the death date can be added as information in a 670 citation.) See the section on **Additions and Changes to Authority Records -- Pre-AACR2 Headings in the NAF** in this manual for policy on additions to pre-AACR2 headings.

Additions and changes are governed by the same guidelines used for creating original authority records, i.e., AACR2, the LCRIs, and the DCM.

Additions and Changes to Authority Records

Workflow

Training Status

- I. If an addition or change is warranted, make the changes to the NAR online, or mark a printout of the record with proposed changes. When updating the record online, your NUC symbol will automatically appear at the end of the 040 field (both RLIN and OCLC have mechanisms which add NUC symbols to the 040 automatically when a record is updated).
- II. NACO participants are required to bring the **whole record** up to date. This includes examining and making necessary adjustments to the fixed fields (008/10 Descriptive Cataloging Rules, 008/29 Reference Evaluation, 008/33 Level of Establishment), the 1XX, 4XX, 5XX, 667, 663/664, 670, and 675 fields.
- III. Send the record number and the fact that it is an **updated** (not new) record via e-mail to the NACO Coordinator, or send the marked printout to the Coordinator.
- IV. The NACO Coordinator will then review the record to be sure it is correct. Problems will be referred back to the cataloger via e-mail.
- V. After all corrections have been made, the record numbers of updated records are sent to the Coop Cat liaison, along with record numbers of any new records which have been created.
- VI. After the Coop Cat liaison has approved the changes, the NACO Coordinator will be notified by e-mail that the records may be produced. The Coordinator will put the records into production. Changed records should appear in the bibliographic utilities within one to two days.

Independent Status

After independent status is granted, updated records do not have to be approved by Coop Cat. If the change involves adding a 4XX field and a 670 field, the record number does not need to be sent to LC. If the change involves a form of name change in the 1XX, you must notify Coop Cat to do BFM. A typical workflow might look like this:

- A. Records are updated by catalogers
- B. NACO Coordinator receives notification of updated records via e-mail
- C. NACO Coordinator prints out and reviews all records by accessing accounts, notifying catalogers of changes or problems
- D. After all corrections are made, NACO Coordinator produces updated records

If the Coordinator is confident that quality of records is high, he may decide to allow each cataloger to input changes and produce records without reviewing them.

Additions and Changes to Authority Records

Fixed Fields

Most fixed fields in authority records are either constants or are system supplied.

There are certain fixed fields which must be examined and adjusted if necessary when making additions and changes to NAF records.

These fixed fields are listed and briefly annotated below. For complete information on authority record fixed fields, see appropriate sections of the DCM, the RLIN Authority Field Guide and Memory Aid, and the *OCLC/LSP Authority File: User Guide*.

Encoding Level	Leader/17	EL (RLIN)	Enc lvl (OCLC)
code n	complete authority record		
code o	incomplete authority record (i.e., early notice record)		
Level of Establishment	008/33	STH (RLIN)	Auth status (OCLC)
code a	fully established heading		
code b	memorandum		
code c	provisional heading		
code d	preliminary heading		
Record Update in Process	008/31	UIP (RLIN)	Upd status (OCLC)
code a	record can be used		
code b	record is being updated		
Descriptive Cataloging Rules	008/10	CRC (RLIN)	Rules (OCLC)
code a	Earlier rules		
code b	AACR1		
code c	AACR2		
code d	AACR2 compatible		

Additions and Changes to Authority Records

Undifferentiated personal name	008/32	UPN (RLIN)	Name (OCLC)
code a		differentiated personal name	
code b		undifferentiated personal name	
code n		not applicable, i.e., not a personal name	
Reference evaluation	008/29	RFE (RLIN)	Ref status (OCLC)
code a		cross references have been evaluated and are consistent with the heading	
code b		cross references are not necessarily consistent with the heading, i.e., the references have not been evaluated for AACR2	
code n		record does not contain cross references	

Additions and Changes to Authority Records

Pre-AACR2 Headings in the NAF

Evaluating Form of Name in the 1XX

If a heading is found in the NAF that has not been coded AACR2 (Descriptive cataloging rules fixed field 008/10 = **c**) or AACR2-compatible (Descriptive cataloging rules fixed field 008/10 = **d**), re-evaluate the heading based on the work in hand, LC bibliographic records in RLIN or OCLC, and other sources. Determine what the AACR2 heading would be and which of the following cases applies:

I. AACR2 heading would match pre-AACR2 heading:

- A. If the AACR2 heading would be the same as the pre-AACR2 heading, make changes in the record so that it is fully in accord with current AACR2 policy.
- B. Be sure to change the Descriptive cataloging rules fixed field 008/10 to **c**, to evaluate and adjust the cross references, and to change the Reference evaluation fixed field 008/29 to **a** (indicating that the cross references have been evaluated) or to **n** (indicating that there are no cross references).

II. AACR2 heading would not match the pre-AACR2 heading:

- A. Make necessary changes to the record.
- B. Be sure to enter the AACR2 heading in the 1XX field.
- C. Change the tags and other codes as necessary. Change the Descriptive cataloging rules fixed field 008/10 to **c**. Be sure to evaluate and adjust the cross references to reflect AACR2 practice, and code the Reference evaluation fixed field 008/29 **a** (indicating that the references have been evaluated) or to **n** (indicating that there are no cross references).
- D. Notify the NACO Coordinator that BFM is needed if there are LC bibliographic records with this heading in the database.

Additions and Changes to Authority Records

Addition Dates and Other Qualifiers to Pre-AACR2 Headings

Dates

(Cf. LCRI 22.17--bracketed segments are additional, explanatory notes).

Do not add the date to a [personal name] heading being coded for AACR2 [i.e., to a pre-AACR2 heading which is being upgraded to an AACR2 heading] when the heading is represented by an access point on an existing bibliographic record in the catalog [for NACO participants, this means in LC bibliographic records found in RLIN or OCLC] and is otherwise in accord with current policy.

However, if the person is no longer living and the existing heading contains a date, change the date if it is obsolete in either form or fact. For example, if the existing heading has an open birth date such as "1861- ", either add the death date (if available) or change the open birth date to "b. 1861," or if the existing heading has an approximate date and the exact date is now available, use the exact date in the AACR2 heading [for example, if the date was "ca. 1872-1947" and it is known that the birth date is actually 1873, the date may be changed to "1873-1947"].

Please note that this LCRI applies to both authority records in the NAF that are not coded for AACR2 (Descriptive cataloging rules fixed field 008/10 = **a** or **b**) and to headings that appear in pre-AACR2 LC bibliographic records, but do not yet have established authority records.

Other Qualifiers

(Cf. LCRI 22.18A, Exception #3).

Do not add the fuller form of a personal name heading to a pre-AACR2 heading. For example, if there is a pre-AACR2 heading in an LC bibliographic record for "Eddison, C.D.," do **not** establish the heading as "Eddison, C.D. (Carlton David)."

Additions and Changes to Authority Records

Cancellation of Authority Headings in the NAF

Cancellation of an established authority record

Occasionally you may find a record in the NAF which should be deleted. This process is called "cancellation" or "deletion." Most commonly an authority record is canceled because it is found to be a duplicate, i.e., it represents the same person, corporate body, conference or title represented by another authority record.

If you find an authority record that should be canceled, notify the NACO Coordinator. Include an explanation of the situation and justification for requesting the cancellation. If the forms of name differ in duplicate records, the database should be searched and usage should be reported to Coop Cat so that BFM can be done.

The cancellation request will be reviewed and then forwarded to LC for consideration. The cancellation itself can only be done by LC, even if the record was contributed by your institution. The Coop Cat liaison will transfer any needed information and the canceled record number (001) to the NAR being kept.

Deletion of a record in the RLIN Save file or the OCLC Review file

It may also be necessary to delete records input into the RLIN Save file or OCLC Review file if duplicates are found for these headings.

RLIN Save file

To delete a record in the RLIN Save file, add a variable field with the values:

INS -- d

A fuller example might look like this:

100 10 Jones, Harold D.
670 His A primer for young readers, 1857:\$bt.p. (Harold D. Jones)
INS d

The record will be deleted in overnight processing.

Additions and Changes to Authority Records

OCLC Review file

To delete a record in the OCLC Review file, simply call up the record and type in the command **de**. You will be prompted to confirm deletion of the record. The record will disappear immediately from the review file.

Additions and Changes to Authority Records

Undifferentiated Personal Name Authority Records

Sometimes a personal name heading being created will conflict with or normalize to match another heading in the NAF. Normalization refers to a computer edit that eliminates all diacritics and most punctuation (except first comma after subfield **a**), and converts all letters to uppercase and all modified letters to their unmodified equivalents. (See DCM Z1, Introduction, p. 4-6, for more information and examples.)

If neither heading can be modified to differentiate it from the other, an authority record representing more than one person with the same name will need to be created. These are called undifferentiated personal name authority records (also called non-unique name authority records).

From April 1988-mid-June 1990, the LC policy was to list up to three persons represented by the name in the authority record. If the heading represented four or more people, the record retained information on three persons and included a 667 note "Record covers additional persons."

In June 1990 LC decided to abandon the limit of three persons (reverting to earlier practice) and to allow undifferentiated personal name records to list all people represented by the heading, without regard to the number of people using that name. Although the note "Records covers additional persons" has been discontinued for new records, it should be retained when found on existing records.

Procedure:

I. If the heading being created will exactly match or will normalize to exactly match another heading in the NAF, examine the heading to see if it is for a differentiated personal name (Undifferentiated personal name fixed field 008/32 = **a**) or for an undifferentiated personal name (Undifferentiated personal name fixed field 008/32 = **b**). If it is the latter, skip to section IV below.

II. If the authority record is for a differentiated personal name, try to resolve the conflict for either the heading being created or the heading already in the NAF. See AACR2 22.17-19 and consult appropriate reference sources to do so.

III. If the conflict cannot be resolved, it will be necessary to change the existing NAF record into a heading for an undifferentiated personal name, per AACR2 22.20 and DCM Z1.

A. Change the Undifferentiated personal name fixed field to **b**.

Additions and Changes to Authority Records

B. For each person represented by the NAR, supply **two** 670 citations for the name on the work in hand. The first will contain an informal descriptive term for the person, consisting of the title of the work cataloged and the person's relationship to it, and will be in brackets. The second will be a standard 670 note.

Pattern:

670 [Author (or editor, etc.) of Title of work in hand]
670 Title, date: \$b location (citation of name)

Example:

670 [Author of A history of witchcraft]
670 A history of witchcraft, 1981: \$b t.p. (Jean Mason)

C. List the reference sources consulted in trying to break the conflict in the 670 or 675 (sources not found) field as appropriate.

D. Add a bracketed 670 field for the first person already listed in the authority record, per step III. B. above. This will be the **first** 670 field for that person.

IV. If the NAF record being changed is already coded as an undifferentiated personal name (Undifferentiated personal name fixed field 008/32 = **b**), add the citations to the record, following steps III B-C above.

Examples

100 10 Stewart, John
670 [Editor of The Best of Tracks]
670 The Best of Tracks, 1975 (a.e.) \$b cover (John Stewart, editor)
670 [Author of Of no fixed abode]
670 His Of no fixed abode, 1975: \$b t.p. (John Stewart) jkt. (lecturer in soc. admin., Univ. of Lancaster)
670 [Author of Ulster D.V.]
670 His Ulster D.V., 1972: \$b t.p. (John Stewart) introd. (former missionary; pastor, Woodvale Meth. Church, Belfast)
670 [Subject of The missionary power]
670 Mitchell, J. The missionary power, 1827 (subj.) \$b t.p. (John Stewart)

Additions and Changes to Authority Records

- 670 [Editor of Made for television]
670 Made for television, 1985: \$b t.p. (John Stewart) p. iv (Television access officer at the British Film Institute)
675 WW Aus, 1975; \$a Allibone; \$a Lanman, C. Biog. annals of civil govt. of U.S., 1876; \$a Hough; \$a Drake; \$a WwasW in Amer., 1607-1968; \$a Academic WW, 1973-74; \$a Commonwealth univ. yrbk., 1974; \$a WW, 1970, 75

100 10 Smith, Mary

- 670 [Subject of An Affecting narrative ...]
670 An Affecting narrative ... 1815 (subj.) \$b t.p. (Mary Smith; captured by Indians Aug. 1814)
670 Sabin \$b (Mary Smith)
670 [Author of Savage barbarism]
670 Her Savage barbarism, 1978: \$b CIP galley (Mary Smith; captured by Indians July 1789)
675 Cushing; \$a Evans; \$a Newberry Lib. E. E. Ayer Coll. Narr. of cap., 1912

Additions and Changes to Authority Records

4XX and 5XX Fields

4XX and 5XX fields on existing NAF records may be added, deleted, and/or modified for various reasons, including:

1. adding a new 4XX/5XX field because a variant form of the heading has been encountered
2. deleting a 4XX/5XX field because it is no longer appropriate
3. modifying a 4XX/5XX field in order to reflect new information or make a correction

I. For guidelines on how and when to add or modify 4XX/5XX fields, see:

- A. AACR2, chapter 26
- B. LCRIs for chapter 26
- C. DCM, section Z1

II. For more information on formulating 4XX/5XX fields, see the section of this manual on **New Authority Records -- 4XX/5XX Fields**.

III. Many modifications to 4XX/5XX fields will also necessitate the addition of 670 and/or 675 fields. For information on formulating these fields, see the sections of this manual on **New Headings -- 670 Field** and **New Authority Records -- 675 Field**.

IV. When adding or adjusting 4XX/5XX fields on an authority record, remember that the whole record must be brought up to date. Be sure to examine and, if necessary, adjust all 4XX/5XX fields in the record. Indicate that the references have been evaluated by coding the Reference evaluation fixed field 008/29 **a** or **n**.

V. Routinely delete all subject-to-name references (field 5XX \$wnb) when changing a record for another reason. (These references are no longer made; since existing references have not been maintained, they may not be in accord with current subject cataloging policy. Cf. DCM Z1, 5XX See Also From Tracings, p. 1)

VI. Do not delete or change linking references in existing authority records except in cases of conflicts that cannot be resolved by additions to the other heading. See Additions and Changes -- 667 Field (p. 86).

Additions and Changes to Authority Records

670 Field

Supply 670 citations to an existing authority record in the following two situations:

1. Additions or changes have been made to the record, and changes must be justified (exception: changes made to update punctuation on existing LC NAF records -- such as removing final periods -- do not have to be justified in a 670)
2. Important new information is found about a heading that warrants inclusion

Note: It is important to point out that, just as a NACO library is not obligated to contribute any individual new NAR, so a NACO library need not make a change to any individual NAR, unless the change is required by the rules.

Procedure:

- I. Apply the principles in the section **New Headings -- 670 Field** in formulating additional 670 citations.
- II. Generally do not change the order of the existing 670 fields already cited in the record. New 670 fields will simply be listed after those already given.
- III. Do not routinely delete 670 fields already cited when the addition of new 670 fields makes the earlier ones irrelevant.
- IV. For undifferentiated personal name authority records, follow the guidelines in this manual.

Additions and Changes to Authority Records

675 Field

If, in researching a heading in order to make additions or changes to an authority record, sources are searched that do not provide information about the heading, cite them in a 675 field.

This field is used to record sources in which no information about the heading was found. It is formulated in one continuous paragraph, utilizing subfield **a** before each separate source after the first. Source citations are abbreviated and separated by semicolons (see section on **New Authority Records -- 675 Field** for examples).

If the authority record being modified already contains a 675 field, add newly searched source(s) at the end. If it does not, formulate one listing your source(s).

The 675 field may also be added to an existing authority record to document earlier or later names not found in the work cataloged. See the section on **New Authority Records -- 675 Field** for examples.

Additions and Changes to Authority Records

663/664 Fields

It may be necessary to add, change, or delete 663 or 664 fields and/or add or change control subfields (**\$w**) to cross references on existing authority records.

1. Conversion from Complex Reference to Regular Reference

Change the record on which the complex reference is traced by changing the **\$w** control subfield and correcting the tag, if necessary.

For a see reference, search the database for the record with the 664 field. If found, cancel it following the normal procedures for record cancellation. If not found, assume that the complex reference has already been cancelled. For see also references recorded in 663 fields, also delete the 663 field from the record for the heading referred from.

2. Conversion from Regular Reference to Complex See or See Also Reference

Change the **\$w** control subfield for the reference by adding a value **b** or **c** in the 4th position. Correct the tag if necessary. For see also references, also change the record for the heading referred from, and add the 663 field to it.

3. Change to an Existing Complex Reference

If the reference is, and will remain, a "see" (664) reference, and if the change is to the refer-to or refer-from lines, change the name authority record(s) on which the complex reference is traced.

If the reference is, and will remain a "see also" (663) reference, adjust the text of the reference as necessary. If the change is to the refer-to or refer-from lines, also change the name authority records on which the reference is traced.

Additions and Changes to Authority Records

665 Field

Do not use this field, cf. *US MARC Authority Format*, 665 History Reference, LC Guidelines.

Additions and Changes to Authority Records

667 Field

I. When adding a "Not the same as" or "Cannot identify with" 667 note to a new authority record, it may be helpful to add a corresponding 667 to the existing record.

Example

(new record being added)

100 10 Thomas, Edward, \$c printer, of London
400 10 Thomas, E. \$q (Edward), \$c printer, of London
667 Cannot identify with: Thomas, Edward, printer
670 The interesting history, of little King Pippin, 1820: \$b p. 40 (E. Thomas; printer, Golden Lane, Barbican, London)
670 Todd, W.B. Directory of printers ... London & vicinity 1800-1840, 1972 \$b (Thomas, Edward; printer in London, active 1808-1837)

(existing record in the NAF, 667 added)

100 10 Thomas, Edward, \$c printer
667 Cannot identify with: Thomas, Edward, printer, of London
670 Little Tommy, 1858: \$b t.p. (Edward Thomas; printer, Chester, England)

II. If a linking reference would normalize to the same form as the heading or another reference on the same record or to the same form as a heading on another record, add an "Old catalog heading" 667 note. It may also be necessary to use this 667 note if the linking reference method of tracing a pre-AACR2 LC heading is not appropriate. Cf. DCM Z1, Introduction, p. 4-6.

100 00 Napoleon \$b I, \$c Emperor of the French, \$d 1769-1821
667 Old catalog heading: Napoléon I, Emperor of the French, 1769-1821

Additions and Changes to Authority Records

Preliminary Authority Records in the NAF

The NAF contains headings designated "preliminary" which may be identified by Level of Establishment fixed field 008/33 **d**; occasionally the 670 field will begin with a control number.

The code indicates that the item (book, serial, etc.) was not available when the heading was established. Rather, the heading was established on the basis of a bibliographic record (manual or online) for the item. Although most NACO participants do not create preliminary headings, they are permitted to upgrade them to fully-established headings. LC catalogers must upgrade such headings when they are used in access points on national level bibliographic records, but NACO libraries are not obligated to upgrade such headings unless they are making a change for another reason, no matter how insignificant, to the authority record.

Procedure:

- I. For personal names, do not change the heading in order to add qualifiers or dates, or because of a difference in fullness of forename. (Cf. LCRI 22.17 and 22.18, exception #3.)
- II. If there is **no change** to the heading, upgrade the record to fully established by changing the Level of Establishment fixed field value from **d** to **a** and adding a 670 field for the work being cataloged.
- III. If there **is** a change to the heading, change it and make other changes as noted in II above. Check for LC records in RLIN or OCLC that may need maintenance done.

Additions and Changes to Authority Records

Provisional Authority Records in the NAF

Background:

The NAF contains headings designated "provisional" which may be identified by Level of Establishment fixed field 008/33 **c**.

Generally, these are authority records which could not be fully established according to the rules because of inadequate information about the person, corporate body, etc. Frequently, this is because the language of a parent body and a subordinate body differ, or because the cataloger who established the heading did not have the language expertise necessary to establish it as a full-level record.

Procedure:

- I. Revise the heading on a provisional record when the work being cataloged provides information which enables the cataloger to upgrade into a fully established record. Change the Level of Establishment fixed field from **c** to **a**.
- II. In addition to changing and/or adding information to the heading (if necessary) and adding a 670 field, check all fixed fields and the rest of the heading for any needed adjustments.
- III. Search the RLIN or OCLC bibliographic files for LC records which will need maintenance due to changes. If there are any, notify the NACO Coordinator, who will then notify Coop Cat.

Additions and Changes to Authority Records

British Library Name Authority Records

In January 1994 the British Library (BL) began contributing name authority records to the Library of Congress name authority file. These records were created by the BL and input at LC, the records may be identified by:

- (1) The presence of the code "Uk" in the subfield \$a of the 040 field, coupled with the code "DLC" in subfield \$c of the 040.
- (2) A 667 note with the legend "Data prepared by the British Library."
- (3) Abbreviated 670 fields.

In October 1996 the British Library will begin to contribute NARs online. These records will be identified by the prefix "nb" in the 010 of the record as well as the code "Uk" in both subfields of the 040.

The BL must be consulted prior to making any change to the 1XX field on any record with the code "Uk" in the a subfield of the 040. Send an email message to Sharon Agar, Authority Control Manager (internet address: **sharon.agar@mail.bl.uk**) giving the LCCN of the record and a brief explanation for the the proposed change. Ms. Agar may also be contacted by fax (**international +44 1937 548979**).

Additions and Changes to Authority Records

English Short Title (ESTC) Records

Authority records for names established by the British Library in connection with the English Short Title Catalogue project are submitted to the NAF by ESTC North America staff. Since these headings are being provided by a national library, they may not be changed without special permission. Proposed changes should be referred to the NACO Coordinator who will route them to Coop Cat.

ESTC records can be identified by the following elements:

1. The 040 field contains either UK/ESTC-NA or UK/LU-ECT.
2. The first 670 citation is supplied by project staff and might not represent the publication that caused the heading to be established. The parenthetical statement of the title page form may not include all elements in the heading or may reflect a variant form.
3. Cross references might not be justified by information cited in 670 fields.
4. The record will contain a 667 note field reading: **Data provided by ESTC/BL.**

Example

```
040    UK/LU-ECT $c DLC
100 10 Bramston, James, $ d1694?-1744
400 00 Author of the Art of politicks, $d 1694?-1744
400 20 Art of politicks, Author of, $d 1694?-1744
400 00 Ambi-dexter ignoramus, $d 1694?-1744
667    Data provided by ESTC/BL
670    His The man of taste, 1733: $b t.p. (the author of the Art of politicks)
670    LC in RLIN, Mar. 19, 1985 $b (Bramston, James, 1694?-1744)
```

Additions and Changes to Authority Records

National Library of Medicine (NLM) Records

National Library of Medicine (NLM) catalogers take into account headings and usage in the NLM bibliographic and authority files when preparing new AACR2 headings. They also change AACR2 headings already formulated by LC when the NLM files support a different heading. For headings used by NLM, the NLM heading has precedence over the LC heading when:

1. the LC heading has not yet been coded for AACR2, and the NLM heading has already been established as AACR2.
2. the LC heading has been coded as AACR2-compatible (Descriptive cataloging rules fixed field 008/10 = **d**) and NLM has established the heading as "pure" AACR2 (Descriptive cataloging rules fixed field 008/10 = **c**).
3. both libraries have headings already coded as "pure" AACR2 and NLM has a greater number of bibliographic records in support of its heading than LC has in support of its heading. (If the number is equal, the better heading is chosen, basing the decision on judgment.)

Examples

670 NLM files, 2/5/92 \$b (hdg.: [data]; usage: [data])

670 NLM/LC files, 2/5/92 \$b (hdg.: [data]; usage: [data])

Full NLM Record

040 DNLM \$d DLC \$c DLC

100 10 Fuller, R.

400 10 \$w nnaa \$a Fuller, Roy, \$d 1933-

400 10 Fuller, Roy

670 Probiotics, c1992: \$b t.p. (Roy Fuller) list of contrib. p. (Fuller, R., Intestinal Microecology Consultant, Russet House, Ryeish Green, Three Mile Cross, Reading, UK)

670 LC database, Jan. 29, 1992 \$b (hdg.: Fuller, Roy, 1933- ; usage: R. Fuller)

670 NLM files, Jan. 29, 1992 \$b (hdg.: Fuller, R.; usage: R. Fuller, Roy Fuller)

[NLM AACR2 heading has precedence over LC heading]

Additions and Changes to Authority Records

Early Notice Records

Early Notice Records (ENRs) are brief, incomplete authority records input into the NAF as temporary records.

ENRs may be identified by the Encoding level fixed field Leader/17 **o** (i.e., lower case letter "o"). Some ENRs may not have any cross references, or may have an incomplete 670 field. Although the records are incomplete, the headings themselves should be considered valid and available for use.

An ENR can only be completed and upgraded into a full authority record by the library that created it. If a NACO participant has more information or cross references to add to an ENR, he should wait until the full record appears and judge whether the additional information is necessary. If so, update the record per usual procedures.

When a NACO participant encounters an ENR that is more than several months old, he should notify the NACO Coordinator, who will then ask LC staff to check on the record.

Additions and Changes to Authority Records

Change Messages

Authority records in the NAF that are in the process of being updated sometimes contain "change messages." Change messages usually relate to LC workflow where they serve as a temporary indicator of what changes will be made to an authority record.

NACO participants do not normally create change messages, however, these records may be encountered by NACO participants when searching the NAF.

These records may be identified by the Record update in process fixed field 008/31 **b** and a capitalized term "MESSAGE" in the 667 field followed by information regarding how the record will be updated.

When NACO participants encounter a record with a change message that is more than several months old, he should notify the NACO Coordinator, who will then ask LC staff to check on the record.

Additions and Changes to Authority Records

Queries to the Library of Congress

The same basic procedure for queries regarding new authority records is used for queries on updated authority records.

1. Reporting Bibliographic File Maintenance (BFM). When a change in an existing authority record results in necessary changes to headings in LC bibliographic records, NACO participants must notify Coop Cat. The NACO Coordinator may combine queries about new records and updated records in one e-mail message to Coop Cat.

2. Other Queries. NACO participants are asked to research problems as fully as possible before referring them to Coop Cat. Queries may include:

a. NLC -- asking Coop Cat to verify a Canadian heading with the National Library of Canada.

b. NLM -- asking Coop Cat to verify a heading with the National Library of Medicine.

(Both NLC and NLM are considered to be equivalents to LC, and permission must be granted before their headings are changed.)

c. Request for Coop Cat to check changes to an authority record for errors. After independent status is granted, NACO participants may ask Coop Cat to check individual headings when necessary.

d. Request for assignment of a literature class number (053).

e. Questions about series authority records or other NARs, such as music uniform titles, that are not within scope for many NACO libraries.

Section III

Subject Heading Contribution

General Information

NACO participants are encouraged to participate in the Subject Authority Cooperative Program (SACO) by submitting proposals for new subject headings to the *Library of Congress Subject Headings* via Coop Cat. Contributors must follow the procedures given in the *Subject Cataloging Manual: Subject Headings*, 5th ed., sections H187-H400. Please note that the submission of subject headings is not done through LSP. Rather, a workform supplied by LC (see Appendix VI) must be filled in (preferably typed) and sent to the following address:

**Cooperative Cataloging Teams
Regional & Cooperative Cataloging Division
The Library of Congress
Washington, D.C. 20540-4380**

Forms may also be sent via e-mail (CSCP@mail.loc.gov) or fax (202-707-2824) to the Coop Cat liaison. Facsimiles of workforms can be accessed through LC's Marvel gopher server (see Appendix V). The SACO guidelines may also be viewed in Marvel (<gopher://marvel.loc.gov>) or from the PCC Home Page (<http://lcweb.loc.gov/catdir/pcc>).

NACO participants may also propose changes to existing subject authority records by using the *LCSH Authority Record Change Proposal* form and help screens in Marvel or by sending requests to LC by e-mail. If these options are not available NACO participants may make a printout of the record, mark changes and additions in red ink, and send the printout to the address above.

Subject Heading Contribution

Workflow

1. Determine whether the heading should fall into the name authority file or the subject authority file by checking either section H405 of the *Subject Cataloging Manual: Subject Headings*, or the "Division of the World" document found in the DCM Z11. If there is any question, the NACO or SACO Coordinator should send a query to the Coop Cat liaison.
2. Once the heading is determined to be a subject heading, do research following the procedures in the H202 *Subject Cataloging Manual: Subject Headings*. Note any information found and where it was found, including page numbers if from a reference source.
3. Search the proposed heading in the subject authority file to ensure that another term is not being used or that a combination of heading and subdivision is not used to convey the same meaning.
4. Search the NAMES file to assure that there is no duplication.
5. Type the information on a Subject Heading Work Form (see Appendices V & VI) or use form provided on LC MARVEL. Fill in the appropriate fixed fields. Be sure to fill in the 1XX, 4XX (5XX field if needed), and the 670 for the work cataloged. Add additional 670s to support the new heading. Check H200.
6. Fill in field 675 for sources searched, but not found.
7. Write scope note for 680 when term usage does not offer a precise definition or you wish to limit the use of a particular heading. Check H400.
8. Send the form or forms to the NACO or SACO Coordinator for review.
9. After the forms are reviewed by the NACO or SACO Coordinator, they are sent to LC for review. Unlike name authority records, subject heading proposals go through a rigorous review process at LC which takes approximately 6 weeks.
10. When the LC review is completed, the NACO or SACO Coordinator will be notified of changes, rejection, or approval of headings, and will pass this information on to the cataloger who submitted the original heading. Approved headings will eventually appear as online subject authority records in the subject authority file (SAF).

Section IV

Appendices

Appendix I -- Sample RLIN NACO Workform

Fixed fields:

(cataloger must determine values for STH, UPN, and RFE; question marks remain for TGA and ROM)

ID: [supplied by system] ST: s EL: n STH: ____ MS: n UPI: a TD: [supplied by system]

KRC: a NMU: a CRC: c UPN: ____ SBU: a SBC: a DID: n DF: [supplied by system]

RFE: ____ CSC: c SRU: b SRT: n SRN: n TSS: n TGA: ? ROM: ? MOD: [blank]

Variable fields:

040 [supplied by system]

Heading (required)

1____ ____

Cross References

4____ ____

5____ ____

670 for the Work Cataloged (required)

670

Additional 670, 675, 667, 663/664 fields (use reverse if necessary)

Appendix II -- Sample OCLC NACO Workform

Fixed fields:

(cataloger determines values for Ref status, Auth status, and Name; Enc level and Upd status values will also be filled in by cataloger (these values are always the same, given below))

Rec stat:	n	Entered:	[supplied by system]				
Type:	z	Upd status:	a	Enc lvl:	n	Source:	c
Roman:		Ref status:	_____	Mod. rec.	[blank]	Name use:	a
Govt. agn:		Auth status:	_____	Subj:	a	Subj use:	a
Series:	n	Auth/ref:	a	Geo subd:	n	Ser use:	b
Ser num:	n	Name:	_____	Subdiv tp:		Rules:	c

Variable fields:

001 [supplied by system]
005 [supplied by system]
040 [supplied by system]

Heading (required)

1_____

Cross References

4_____

5_____

670 for the Work Cataloged (required)

670

Additional 670, 675, 667, 663/664 fields (use reverse if necessary)

Appendix III -- Defining LC Bibliographic Records in RLIN

TO: For the Record

FROM: Kay D. Guiles
Office for Descriptive Cataloging Policy

RE: Defining the "Catalog" for NACO Libraries (RLIN)

July 26, 1990

GENERAL

When doing authority work and when notifying LC that bibliographic records need to be changed, NACO libraries are asked to take into account records in the LC machine catalog as do LC catalogers. Since these records are not being observed directly in the catalog at LC (except for participants in the National Coordinated Cataloging Program), but instead indirectly through other databases, it is necessary to provide guidance to NACO libraries on how to identify the records for LC cataloging that have been input and issued by LC from those for LC cataloging that have been input by libraries other than LC. The distinction is important because the former category constitutes the "official" LC catalog. Records in the latter category may have been input from a source that no longer reflects the most up to date version of the record in the context of the LC catalog. Note that the phrase "LC cataloging" is used to refer to the following types of cataloging:

- 1) cataloging done by LC itself;
- 2) cataloging done by other agencies and libraries in association with LC through NACO;
- 3) cataloging done by other agencies at the "LC level" and issued/distributed by LC (National Coordinated Cataloging Program; older cooperative cataloging; CONSER (certain levels of authentication));
- 4) LC copy cataloging.

These are the categories of records referred to in the following statement from DCM Z1.15.10 (b): "NACO participants not online to LC may use and cite information from LC created and input and LC level records in any file being cataloged against." These are the categories of records intended to be taken into account by NACO libraries when doing authority work (with certain exceptions made by special arrangement as noted in DCM Z1.15.10 (b)). Records not in these categories are to be excluded.

The keys to identifying records that have either been added to RLIN files from LC distribution services or that have been input directly by LC staff are the relevant library identifiers. In addition, for monographs, it is also necessary to take into account the values in the encoding level, since minimal level cataloging records (encoding level = 7) require special treatment for authority work and LC "in process" records (encoding level = 5; encoding level = 7 and ST = s) are ignored. For serials, the key is on the codes in the 042 field.

Attached are two appendices. The first states this material comprehensively; the second attempts to reduce it to a relatively succinct formula that, I hope, may serve as a useful guide.

Appendix 1

Guide to Records Issued by LC in RLIN

MONOGRAPHS

	<u>Library identifier</u>	<u>Encoding level</u>
1.	DCLC (roman alphabet) records; added from LC	(blank; full level); CC = 9110 (full level; item not in hand); CC = 9120 8 (CIP); CC = 9660
2.	DCLC (roman alphabet) records added from LC	(minimal level cataloging); CC = 9550 (older records = 9650); special treatment required
3.	DCLC (roman alphabet) records added from LC	(partial (preliminary level); CC = 9990; ignore
4.	DCLP (Chinese, Japanese, Korean; input by LC) DCLH (Hebrew, Yiddish; input by LC)	b/ (blank; full level); CC = 911X
5.	DCLP (Chinese, Japanese, Korean; input by LC) DCLH (Hebrew, Yiddish; input by LC)	7 (minimal level cataloging); CC = 955X); special treatment required; if ST = s, ignore
6.	DCLP (Chinese, Japanese, Korean; input by LC) DCLH (Hebrew, Yiddish; input by LC)	5 (partial (preliminary level); CC = 955X; ignore

Category 1, 4 records. The records in categories 1, 4 above are full level records (including CIP) and should be taken into account.

Category 2, records. The records in category 2 above are minimal level cataloging records; for authority work, they require the special treatment described in DCM Z1.15.10.

Category 3, records. The records in category 3 above are "in process" records issued by LC for items in process at LC. The records are issued at the time the descriptive cataloging data are initially input. Ignore them when doing authority work and do not include them as records needing changes.

Category 5, records. The records in category 5 above are minimal level cataloging records; for authority work, they require the special treatment described in DCM Z1.15.10. If ST = s, ignore, since the record is not yet in its final state.

Category 6 records. The records in category 6 above are "in process" records for items in process at LC that are being cataloged via the RLIN system. The records are created at the time the descriptive cataloging data are initially input; ST = s. Ignore them when doing authority work and do not include them as records needing changes.

SERIALS

1. Authoritywork. NACO libraries using RLIN are asked to take into account the same subset of records that LC catalogers take into account when doing authority work. These records are confined to those with an LI of DCLC (CONSER records added from LC) containing an authentication statement (042 field present) and the action taken relates to the level of authentication stated in one or more codes as follows:

- a) if the 042 field contains at least one of the codes lc or lcd exclusive of the code nlc, take the record into account;
- b) if the 042 field contains the code nlc regardless of the presence of other codes, follow the procedures stated in DCM C2 for Canadian headings;
- c) if the 042 field does not contain one of the codes lc, lcd, or nlc, apply the special treatment described in DCM Z1.15.10.

Note that "x" given as the first letter of a code indicates that that particular agency does not regard the item as a serial; such a code is itself neutral with respect to authentication. Thus if such an "x" code is present in combination with another code, follow the guidelines stated immediately above in this paragraph. If an "x" code is the sole code present, ignore the record.

2. Bibliographic records. In notifying LC of bibliographic changes, take into account all records with an 042 field except

- a) those containing solely an "x" code in 042;
- b) those with 040 subfield Pb = fre.

ERROR RECORDS

Error records containing system-identifiable errors in content designation (per USMARC) generally have the same characteristics as the roman alphabet records above with the following exceptions: the RLIN element ST (Record status) contains the value "e" (error record) and the system-identified error is labeled at the field level with one of several possible RLIN error codes.

Quick Guide to Records Issued by LC in RLIN

LI	EL	CC	ST	Category of record	Action
DCLC	b/ 1 8	9110 9120 9660	p p p	full level full level; item not in hand CIP	Take into account Take into account Take into account
	7	9550 9650	p	minimal level cataloging 9650 used in older records	For authority work, follow the special treatment described in DCM Z1.15.10
	5	9990	p	partial (preliminary level)	Ignore
DCLP, DCLH	b/ 7	911X 955X	p p	full level minimal level cataloging	Take into account For authority work, follow the special treatment described in DCM Z1.15.10
			s	minimal level cataloging	Cataloging still in process; ignore
	5	955X	s	partial (preliminary level)	Ignore

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SERIALS (LI = DCLC)

1. **Authority work.** 042 present and contains

- a) at least one of the codes lc or lcd exclusive of nlc = take record into account;
- b) the code nlc regardless of other codes = follow DCM C2;
- c) no one of the codes lc, lcd, nlc = apply the special treatment described in Z1.15.10.
- d) solely an "x" code = ignore record

2. **Bibliographic records.** In notifying LC of changes = all records with an 042 field except those with an "x" code as sole code or 040 Pb = fre.

ERROR RECORDS

Error records containing system-identifiable errors in content designation (per USMARC) generally have the same characteristics as the roman alphabet records above with the following exceptions: the RLIN element ST (Record status) contains the value "e" (error record) and the system-identified error is labeled at the field level with one of several possible RLIN error codes.

Appendix IV -- Defining LC Bibliographic Records in OCLC

TO: For the Record July 26, 1990

FROM: Kay D. Guiles
Office for Descriptive Cataloging Policy

RE: Defining the "Catalog" for NACO Libraries (OCLC)

GENERAL

When doing authority work and when notifying LC that bibliographic records need to be changed, libraries are asked to take into account records in the LC machine catalog as do LC catalogers. Since these records are not being observed directly in the catalog at LC (except for participants in the National Coordinated Cataloging Program but instead indirectly through other databases, it is necessary to provide guidance to NACO libraries on how to identify the records for LC cataloging that have been input and issued by LC from those for LC cataloging that have been input by libraries other than LC. The distinction is important because the former category constitutes the "official" LC catalog. Records in the latter category may have been input from a source that no longer reflects the most up to date version of the record in the context of the LC catalog. Note that the phrase "LC cataloging" is used to refer to the following cataloging:

- 1) cataloging done by LC itself;
- 2) cataloging done by other agencies and libraries in association with LC through NACO;
- 3) cataloging done by other agencies at the "LC level" and issued/distributed by LC (National Coordinated Cataloging Program; older cooperative cataloging; CONSER (certain levels of authentication));
- 4) LC copy cataloging.

These are the categories of records referred to in the following statement from DCM Z1.15.10 (b): "NACO participants online to LC may use and cite information from LC created and input and LC level records in any file being cataloged against." These are the categories of records intended to be taken into account by NACO libraries when doing authority work (with certain exceptions made by special arrangement as noted in DCM Z1.15.10 (b)). Records not in the above categories are to be excluded.

Note that because of OCLC's merge process, the iteration of a record for LC cataloging residing in the OCLC database may not equate, data element for data element, to the iteration of the same record residing in the LC machine catalog. For example, the former may contain call numbers and subject headings from classification and subject heading systems not used by LC.

Over the years LC has engaged in many cataloging programs, and it is thus impossible to define LC catalog by a succinct and easily followed formula. In defining that catalog as a subset of the OCLC databases approaches for monographs and serials are required. For monographs, it is necessary to key on the values in the encoding level and in the cataloging source. For serials, the key is on the codes in the 042 field. In the following statement, both the encoding level approach and the cataloging source approach are described in comprehensive terms for monographs. Attached is an appendix that attempts to reduce this material to a relatively succinct formula that, I hope, may serve as a useful guide.

MONOGRAPHS

1. **Encoding level approach.** This approach to the LC catalog is as follows:

The encoding level contains a numeric value (including blank) and subfield Pa of 040 contains the NUC symbols specified in the following schema:

Enc level = b/ (blank; full level)
 1 (full level; material not examined)
 5 (partial (preliminary) level; ignore)
 7 (minimal level; apply special procedures)
 8 (prepublication level; CIP)

and 040 Pa = DLC (alone or in combination with another
 agency's NUC symbol, e.g.: DLC/DGPO)

 Name of a library (alone or in combination
 with another agency's NUC symbol, e.g.: Brown Univ. Library; Brown
 Univ. Library/ICU)

CtY (Yale)
 CU (Berkeley)
 ICU (Chicago)
 InU (Indiana) [NUC symbols of NCCP
 IU (Illinois) participants]
 MH (Harvard)
 MiU (Michigan)
 TxU (Texas)

or 042 present and =lccopycat [code indicating LC copy cataloging]

A numeric value (including blank) in the encoding level initially indicates, among other things, records that are still in the LC catalog. (Records with a value "J" are records that have been cancelled; in the case of LC cataloging, they have been cancelled by LC, they no longer reside in the LC catalog, and therefore, are to be ignored.) The 040 Pa limits the category with numerics in the encoding level to the subset of records issued by LC; 042 takes into account LC copy cataloging although issued by LC and therefore will have an encoding level value that is blank/numeric (the actual value is 1). This must still be distinguished from other records having such a value in the encoding level such as records from other national libraries.

Records with an encoding level value = 7 are minimal level cataloging records; for authority work require special treatment as described in DCM Z1.15.10.

This schema takes into account most COMARC records. They have "DLC" in subfield Pa of 040 (the case of the pre-1983 cooperative cataloging program, the name of the library that did the cataloging) and the library in subfield Pc of 040 (if an OCLC library, the appropriate three-character OCLC symbol; if a non-OCLC library, the symbol "CMC"). It does not take into account a relatively small number of COMARC records that represented cooperative cataloging but for which on input the COMARC participants substituted the NUC symbol for the cooperating library instead of giving its name (these records do have, however, cataloging source = c).

2. Cataloging source approach. This approach to the LC catalog is as follows:

The cataloging source contains a value indicating several types of cataloging as follows: of several values indicating LC cataloging or various cooperative cataloging programs, (values b/, a, b, c); LC cataloging (value d plus 042 field containing "lccopycat"); cooperative cataloging with NLM and GPO (value d and subfield containing either "DNLM/DLC" or "DGPO/DLC"; note that in the LC catalog value d has been changed but the records were not reissued; therefore, value d still occurs in records in databases outside LC except for records that LC has reissued as the result of other changes made by LC). The encoding level contains a number (including blank). Use the following schema:

EITHER

Cat source = b/ (blank; Library of Congress)
a (National Agricultural Library)
b (National Library of Medicine)
c (Library of Congress cooperative cataloging program)

and Enc level blank (full level)

1 (full level; material not examined)
5 (partial (preliminary) level; ignore)
7 (minimal level; apply special procedure)
8 (prepublication level; CIP)

OR

Cat source = d (other sources)

and Enc level blank (full level)

and either 040 Pa = DNLM/DLC or DGPO/DLC [these categories were changed to value c in LC but the records were not redistributed so still contain d in other iterations of the records]

or 042 present and = lccopycat

Under this approach it is necessary to take into account encoding level because, as I understand it, when other input LC cataloging data, they assign the cataloging source value appropriate to the record; it is the encoding level that distinguishes between input originated at LC and that done elsewhere. Records with an encoding level value = minimal level cataloging records; for authority work, they require special treatment as described in DCM Z1.15.1

The values a and b were originally defined for two older shared cataloging programs with NAL and ("Shared Cataloging for NAL"; "Shared Cataloging with DNLM"). The values were later redefined as shown above, however, that in a couple of records issued by NLM that they both contain value d. The above schema is predicated that as being true.

SERIALS

1. Authority work. NACO libraries using OCLC are asked to take into account the same subset of records that LC catalogers take into account when doing authority work. These records are confined to containing an authentication statement (042 field present) and the action taken relates to the level of authentication stated in one or more codes as follows:

- a) if the 042 field contains at least one of the codes lc or lcd exclusive of the code nlc, take the record into account;
- b) if the 042 field contains the code nlc regardless of the presence of other codes, follow the procedures stated in DCM C2 for Canadian headings;
- c) if the 042 field does not contain one of the codes lc, lcd, or nlc, apply the special treatment described in DCM Z1.15.10.

Note that "x" given as the first letter of a code indicates that that particular agency does not regard the item as a serial. Such a code is itself neutral with respect to authentication. Thus if such an "x" code is present in combination with another code, follow the guidelines stated immediately above in this paragraph. If an "x" code is the sole code present, ignore the record.

2. Bibliographic records. In notifying LC of bibliographic changes, take into account all records with an 042 field except

- a) those containing solely an "x" code in 042;
- b) those with 040 subfield Pb = fre.

Appendix 1

Guide to Active Records Issued by LC in OCLC

MONOGRAPHS

<u>Encoding level</u>	<u>Cataloging source</u>
1. b/, 1, 8	b/, a, b, c = record issued by LC d <u>and</u> 040 Pa = DNLM/DLC = record issued by LC d <u>and</u> 040 Pa = DGPO/DLC = record issued by LC d <u>and</u> 042 = lccopycat = record issued by LC (LC copy cataloging)
2. 7	b/ <u>and</u> 050 = regular LC call number record issued by LC (brief JACKPHY; special treatment required) b/ <u>and</u> 050 = MLC or microform shelf no. = record issued by LC (minimal level cataloging; special treatment required)
3. 5	b/ = record issued by LC (in process record; ignore)

Category 1 records. The records in category 1 above are full level records (including CIP) and should be taken account.

Category 2 records. The records in category 2 above are minimal level cataloging records; for authority work, the special treatment as described in DCM Z1.15.10.

Category 3 records. The records in category 3 above are "in process" records issued by LC for items in process. The records are issued at the time the descriptive cataloging data are initially input at LC. Ignore them when do authority work and do not include them as records needing changes.

SERIALS

1. Authority work. 042 present and contains

- a) at least one of the codes lc or lcd exclusive of nlc = take record into account;
- b) the code nlc regardless of other codes = follow DCM C2;
- c) no one of the codes lc, lcd, nlc = apply the special treatment described in Z1.15.10.
- d) solely an "x" code = ignore record

2. Bibliographic records. In notifying LC of changes = all records with an 042 field except those with an ' code as sole code or 040 Pb = fre.

Appendix V -- Online Subject Authority Record Contribution Workform

This form can be obtained through LC's Marvel gopher server or the PCC Home Page. Complete and mail to the Internet address: **cscp@mail.loc.gov**, or to your Coop Cat liaison.

02-92 SUBJECT AUTHORITY PROPOSAL FORM

008 :	2.	i ____ (May Subd Geog)	25. ____ (Cat. Code)
		- ____ (Not Subd Geog)	29. C
		: ____ (No decision)	040: \$DLC

053 :

1 :

4XX :

5XX BT :

5XX RT :

670 Work cat.:

670 (Sources found):

675 (Sources not found):

680 Here are entered works on

952 : ____ bib. records to be changed

LC pattern or SCM Memo:

Appendix VI
U.S. Mail Subject Authority Record Contribution Workform

NOTE THAT THE MANUAL LCSH PROPOSAL FORM IS NOT INCLUDED IN THIS .PDF VERSION OF THE *NACO PARTICIPANT'S MANUAL*

Appendix VII -- Examples of RLIN Authority Records

FIN ID NAFR9322748 - 1 record in NAF

ID:NAFR9322748 ST:p EL:n STH:a MS:n UIP:a TD:19930624062005
KRC:a NMU:a CRC:c UPN:a SBU:a SBC:a DID:n DF:06-22-93
RFE:a CSC:c SRU:b SRT:n SRN:n TSS: TGA:? ROM:? MOD:
VST:d 06-24-93
040 NjP\$cNjP
100 10 Friedmann, Samuel,\$d1940-
400 10 Friedman, Samuel,\$d1940-
670 Raff, J. Symphony no. 1, 1988:\$blabel (Samuel Friedmann) insert (Samuel Friedman,
conductor; b. Kharkov, 1940; emigrated to Israel in 1973)
675 Holmes, J.L. Conductors on record;\$aJacobs, A. Penguin dict. of musical performers;\$aInt'l
WW in music, 9th-13th eds.

Ex. 1. Personal name hdg, with 400 for variant spelling. 675 field lists sources where the name was not found.

FIN ID NAFR9324000 - 1 record in NAF

ID:NAFR9324000 ST:p EL:n STH:a MS:n UIP:a TD:19930731135043
KRC:a NMU:a CRC:c UPN:a SBU:a SBC:a DID:n DF:07-06-93
RFE:a CSC:c SRU:b SRT:n SRN:n TSS: TGA:? ROM:? MOD:
VST:d 08-02-93
040 PP\$cPP
100 10 Osborne, William
400 10 Osborne, Willm.\$q(William)
400 10 Osborne, W.\$q(William)
670 Dodsley, R. Select fables of Aesop and other fabulists, 1800:\$bt.p. (Willm. Osborne)
670 Toronto Public Library. Osborne Coll., 1975:\$bp. 489 (Osborne, William; fl. 1800, publisher
in London)
670 RLIN, July 1, 1993\$b(hdg.: Osborne, W.)

Ex. 2. Personal name heading with 400s for variant forms of name. Fuller form of name (found in reference source, 2nd 670) is used because the person is a publisher, not an author.

FIN ID NAFR932964 - 1 record in NAF

ID:NAFR932964 ST:p EL:n STH:a MS:n UIP:a TD:19930210203137
KRC:a NMU:a CRC:c UPN:a SBU:a SBC:a DID:n DF:01-27-93
RFE:a CSC:c SRU:b SRT:n SRN:n TSS: TGA:? ROM:? MOD:
VST:d 02-11-93
040 MWA\$cMWA
100 10 Becker, L'eon,\$d1826-1909
400 10 Becker, Leone,\$d1826-1909
400 10 Becker,\$d1826-1909
670 Bruyssel, E.v. The population of an old pear-tree, 1870:\$bt.p. (Becker; illustrator)
670 MWA/NAIP files\$b(hdg.: Becker, L'eon, 1826-1909; usage: L'eon Becker; Leone Becker;
Becker)

Ex. 3. Personal name heading. Note 670 for in-house files.

FIN ID NAFR9319375 - 1 record in NAF

ID:NAFR9319375 ST:p EL:n STH:a MS:n UIP:a TD:19930602055519
KRC:a NMU:a CRC:c UPN:a SBU:a SBC:a DID:n DF:05-26-93
RFE:a CSC:c SRU:b SRT:n SRN:n TSS: TGA:? ROM:? MOD:
VST:d 06-02-93
035 (Uk)sb054432
040 Uk/ESTC-NA\$cESTC-NA
100 10 Blackwell, Francis,\$dfl. 1605
400 10 B., F.\$q(Francis Blackwell),\$dfl. 1605
400 00 F. B.\$q(Francis Blackwell),\$dfl. 1605
667 Data provided by the ESTC/BL
670 Broughton, H. Certayne questions concerning 1. Silk, or vvol, in the high priests ephod. 2. Idol
temples, commonly called churches. 3. The forme of prayer, commonly called the Lords prayer.
4. Excommunication, &c., 1605:\$bforward (F.B.)
670 Halkett & Laing, Dict. of anon. & pseudo. English lit., 3rd. ed., 1475-1640, 1980:\$bp. 33
(Francis Blackwell, fl. 1605, ed. pref. sgd: F.B.)

Ex. 4. An ESTC British Library record. NACO participants are not permitted to change these headings without special permission. Note 667 field.

FIN ID NAFR9325000 - 1 record in NAF

ID:NAFR9325000 ST:p EL:n STH:a MS:n UIP:a TD:19930713134131
KRC:a NMU:a CRC:c UPN:a SBU:a SBC:a DID:n DF:07-12-93
RFE:a CSC: SRU:b SRT:n SRN:n TSS: TGA:? ROM:? MOD:
VST:d 07-13-93
040 DLC-R\$cDLC-R
100 10 Cheng, Tien-sheng
400 10 Zheng, Diansheng
670 Ying Han tso wu i ch!`uan tzu y`uan tz!u hui, 1990:\$bt.p. (Cheng Tien-sheng)

Ex. 5. Chinese personal name heading.

FIN ID NAFR9343982 - 1 record in NAF

ID:NAFR9343982 ST:p EL:n STH:a MS:n UIP:a TD:19931027071517
KRC:a NMU:a CRC:c UPN:a SBU:a SBC:a DID:n DF:10-22-93
RFE:a CSC: SRU:b SRT:n SRN:n TSS: TGA:? ROM:? MOD:
VST:d 10-27-93
040 DLC-R\$cDLC-R
100 00 A.ha,\$cof Shab.ha,\$d680-752
400 00 \$wnnaa\$aA.hai,\$cof Shab.ha,\$dd. ca. 762
400 00 A.hai,\$cof Shab.ha,\$d680-752
400 00 A.ha,\$cRav, mi-Shab.ha,\$d680-752
400 00 A.hai,\$Crav, Ga`on,\$d680-752
400 00 Achai,\$cof Schabcha,\$d680-752
400 00 Acha,\$caus Schabcha,\$d680-752
400 00 Acha,\$cGaon,\$d680-752
670 Sefer To`afot re'em, 1992 or 1993:\$borig. t.p. (Rav A.ha mi-Shab.ha) running title (Rav A.hai Ga`on)
670 Encyc. Judaica, c1971\$b(A.ha (A.hai) of Shab.ha; 680-752; scholar of the Pumbedita yeshivah in the geonic period)
670 ha-Entsi.k. ha-`Ivrit, 1949 or 1950\$b(Rav A.ha (A.hai) mi-Shab.ha; 6800-752)

Ex. 6. Hebrew personal name entered directly. Note linking reference (1st 400).

FIN ID NAFR9317005 - 1 record in NAF

ID:NAFR9317005 ST:p EL:n STH:a MS:n UIP:a TD:19930521055450
KRC:a NMU:a CRC:c UPN:n SBU:a SBC:a DID:n DF:05-06-93
RFE:n CSC:c SRU:b SRT:n SRN:n TSS: TGA:? ROM:? MOD:
VST:d 05-21-93
040 PPL\$cPPL
110 20 American Porcelain Manufacturing Company
670 Its Charter & by-laws, 1854:\$bt.p. (American Porcelain Manufacturing Company, of New
Jersey, chartered by the state of New Jersey Nov. 1, 1854)

Ex. 7. Corporate name.

FIN ID NAFR9324503 - 1 record in NAF

ID:NAFR9324503 ST:p EL:n STH:a MS:n UIP:a TD:19930709061645
KRC:a NMU:a CRC:c UPN:n SBU:a SBC:a DID:n DF:07-08-93
RFE:a CSC:b SRU:b SRT:n SRN:n TSS: TGA:? ROM:? MOD:
VST:d 07-09-93
040 DNLM\$cDLC-R
111 20 Dai 25-kai Nihon Kansenshō o Gakkai Higashi Nihon Chihō okai Sō okai, Dai 23-kai Nihon
Kagaku Ryō ohō o Gakkai Higashi Nihon Shibu Sō okai Gō odō o Gakkai\$d(1976 :\$cTokyo,
Japan)
410 20 Nihon Kansenshō o Gakkai.\$bHigashi Nihon Chihō okai.\$bSō okai\$n(25th :\$d1976 :\$cTokyo,
Japan).\$bGō odō o Gakkai
410 20 Nihon Kagaku Ryō ohō o Gakkai.\$bHigashi Nihon Shibu.\$bSō okai\$n(23rd :\$d1976
:\$cTokyo, Japan).\$bGō odō o Gakkai
670 Dai 25-kai Nihon Kansenshō o Gakkai Higashi Nihon Chihō okai Sō okai Dai 23-kai Nihon
Kagaku Ryō ohō o Gakkai Higashi Nihon Shibu Sō okai Gō odō o Gakkai puroguramu, 1976?

Ex. 8. Japanese conference name.

FIN ID NAFR931866 - 1 record in NAF

ID:NAFR931866 ST:p EL:n STH:a MS:n UIP:a TD:19930122122007

KRC:a NMU:a CRC:c UPN:n SBU:a SBC:a DID:n DF:01-19-93

RFE:a CSC:c SRU:b SRT:n SRN:n TSS: TGA:? ROM:? MOD:

VST:d 01-22-93

040 MiU\$cMiU

110 20 Youth Committee for Peace and Democracy in the Middle East

510 20 \$wb\$aYouth Institute for Peace in the Middle East

670 Crossroads, June 1972, surrogate:\$bcaption (Youth Committee for Peace and Democracy in the Middle East)

675 OCLC, 1/19/93\$b(hdg.: Youth Institute for Peace in the Middle East)

Ex. 9 Earlier corporate name, linked to record in Ex. 10 through 510. Note use of 675 field.

FIN ID NAFR931865 - 1 record in NAF

ID:NAFR931865 ST:p EL:n STH:a MS:n UIP:a TD:19930122122003

KRC:a NMU:a CRC:c UPN:n SBU:a SBC:a DID:n DF:01-19-93

RFE:a CSC:c SRU:b SRT:n SRN:n TSS: TGA:? ROM:? MOD:

VST:d 01-22-93

040 MiU\$cMiU

110 20 Youth Institute for Peace in the Middle East

510 20 \$wa\$aYouth Committee for Peace and Democracy in the Middle East

670 OCLC, 1/19/93\$b(hdg.: Youth Institute for Peace in the Middle East)

675 Crossroads, June 1972, surrogate:\$bcaption (Youth Committee for Peace and Democracy in the Middle East)

Ex. 10. Later corporate name, linked to record in Ex. 9 through 510. Note use of 675 field.

FIN ID NAFR939665 - 1 record in NAF

ID:NAFR939665 ST:p EL:n STH:a MS:n UIP:a TD:19930611135924
KRC:a NMU:a CRC:c UPN:n SBU:a SBC:a DID:n DF:03-15-93
RFE:a CSC: SRU:b SRT:n SRN:n TSS: TGA:? ROM:? MOD:
VST:d 06-11-93
040 DLC-R\$CDLC-R
130 0 Allied and Associated Powers (1914-1920).\$tTreaties, etc.\$gHungary,\$d1920 June 4
410 10 Hungary.\$tTreaties, etc.\$gAllied and Associated Powers (1914-1920),\$d1920 June 20
410 10 United States.\$tTreaties, etc.\$gHungary,\$d1920 June 20
410 10 Japan.\$tTreaties, etc.\$gHungary,\$d1920 June 20
670 Its D^omei oyobi Reng^ookoku to Hangar^oikoku to no heiwa j^ooyaku ... 1921

Ex. 11. Uniform title record for a treaty.

FIN ID NAFR9312964 - 1 record in NAF

ID:NAFR9312964 ST:p EL:n STH:a MS:n UIP:a TD:19930408060929
KRC:a NMU:a CRC:c UPN:a SBU:a SBC:a DID:n DF:04-07-93
RFE:a CSC:c SRU:b SRT:n SRN:n TSS: TGA:? ROM:? MOD:
VST:d 04-08-93
040 NNC\$cNNC
100 10 M^oaev^oali, Sulev.\$tEhitus- ja kunstim^oalestisi Tallinnas.\$lRussian
400 10 M^oaev^oali, Sulev.\$tPam^oil^oatniki arkhitektury i iskusstva Tallina
670 His Pam^oil^oatniki arkhitektury i iskusstva Tallina, 1986

Ex. 12. Name-title uniform title record.

Appendix VIII -- Examples of OCLC Authority Records

Screen 1 of 1 : LC Approved Record

Rec stat:	n	Entered:	930302				
Type:	z	Upd status:	a	Enc lvl:	n	Source:	c
Roman:		Ref status:	a	Mod rec:		Name use:	a
Govt. agn:		Auth status:	a	Subj:	a	Subj use:	a
Series: n		Auth/Ref:	a	Geo subd:	n	Ser use:	b
Ser num:	n	Name:	a	Subdiv tp:		Rules:	c

1 001 no 93005974
 2 005 19930309101522.4
 3 040 ATLA \$c ATLA
 4 100 10 Hamill, H. M. \$q (Howard Melancthon), \$d 1847-1915
 5 400 10 Hamill, Howard Melancthon, \$d 1847-1915
 6 670 His The Bible and its books, 1905: \$b t.p. (Prof. H.M. Hamill, D.D.; superintendent of training work, M.E. Church, South)
 7 670 OCLC, 3/2/93 \$b (hdg.: Hamill, Howard Melancthon, 1847-1915; usage: H.M. Hamill)

Ex. 1. Personal name heading, with fuller form as 400. Note 670 for OCLC, non-LC heading.

Screen 1 of 1 : LC Approved Record

Rec stat:	n	Entered:	930708				
Type:	z	Upd status:	a	Enc lvl:	n	Source:	c
Roman:		Ref status:	a	Mod rec:		Name use:	a
Govt. agn.:		Auth status:	a	Subj:	a	Subj use:	a
Series: n		Auth/Ref:	a	Geo subd:	n	Ser use:	b
Ser num:	n	Name:	a	Subdiv tp:		Rules:	c

1 001 no 93020265
 2 005 19931112052945.6
 3 040 PPPrHi \$c PPPrHi
 4 100 10 Adair, J. A. \$q (Joseph Alexander), \$d 1863-1931
 5 400 10 Adair, Joseph Alexander, \$d 1863-1931
 6 670 His Semi-Centennial of Lansing Presbytery, 1920: \$b t.p. (Rev. J.A. Adair)
 7 670 PPPrHi files \$b (Joseph Alexander Adair; b. 1863; d. 1931; Presbyterian clergyman in Michigan)

Ex. 2. Personal name heading. Note 670 for in-house files.

Screen 1 of 1 : LC Approved Record

Rec stat:	n	Entered:	930706				
Type:	z	Upd status:	a	Enc lvl:	n	Source:	c
Roman:		Ref status:	n	Mod rec:		Name use:	a
Govt. agn.:		Auth status:	a	Subj:	a	Subj use:	a
Series:	n	Auth/Ref:	a	Geo subd:	n	Ser use:	b
Ser num.:	n	Name:	a	Subdiv tp:		Rules:	c

1 001 no 93019863
 2 005 19930708055346.0
 3 040 InU-Mu \$c InU-Mu
 4 100 10 Malherbe, Edmond, \$d 1870-1963
 5 670 His Madame Pierre, c1912: \$b t.p. (Edmond Malherbe)
 6 670 Baker, 8th ed. \$b (Malherbe, Edmond; b. Aug. 21, 1870, Paris; d. Mar. 7, 1963, Corbeil-Essonnes, Seine-et-Oise; French composer)

Ex. 3 Personal name heading.

Screen 1 of 1 : LC Approved Record

Rec stat:	n	Entered:	930923				
Type:	z	Upd status:	a	Enc lvl:	n	Source:	c
Roman:		Ref status:	n	Mod rec:		Name use:	a
Govt. agn.:		Auth status:	a	Subj:	a	Subj use:	a
Series:	n	Auth/Ref:	a	Geo subd:	n	Ser use:	b
Ser num:	n	Name:	a	Subdiv tp:		Rules:	c

1 001 no 93028563
 2 005 19931007063141.9
 3 040 CoU \$c CoU
 4 100 10 Gessner, Richard
 5 667 Not the same as: Gessner, Richard, 1894-
 6 667 Cannot identify with: Gessner, Rick
 7 670 Excerpts from the diary of a Neanderthal dilettante ... 1991: \$b t.p. (Richard Gessner)
 8 675 WW Am., 1993-94; \$a WW West, 1992-93

Ex. 4. Personal name heading, with two 667s. Note 675 for sources where no information was found.

Screen 1 of 1 : LC Approved Record

Rec stat:	n	Entered:	931015				
Type:	z	Upd status:	a	Enc lvl:	n	Source:	c
Roman:		Ref status:	a	Mod rec:		Name use:	a
Govt. agn.:		Auth status:	a	Subj:	a	Subj use:	a
Series:	n	Auth/Ref:	a	Geo subd:	n	Ser use:	b
Ser num.:	n	Name:	a	Subdiv tp:		Rules:	c

1 001 no 93030854
 2 005 19931018162851.4
 3 040 DJBF \$c DJBF
 4 100 20 Cassio de Moraes, Edolier
 5 400 10 Moraes, Edolier Cassio de
 6 400 10 De Moraes, Edolier Cassio
 7 670 Plan general de cuentas, 1988: \$b t.p (Edolier Cassio de Moraes)

Ex. 5. Personal compound name heading. Note 400s for variants from different elements of name.

Screen 1 of 1 : LC Approved Record

Rec stat:	n	Entered:	930215				
Type:	z	Upd status:	a	Enc lvl:	n	Source:	c
Roman:		Ref status:	n	Mod rec:		Name use:	a
Govt. agn.:		Auth status:	a	Subj:	a	Subj use:	a
Series:	n	Auth/Ref:	a	Geo subd:	n	Ser use:	b
Ser num.:	n	Name:	a	Subdiv tp:		Rules:	c

1 001 no 93004444
 2 005 19930217055644.4
 3 040 MoSU-L \$c MoSU-L
 4 100 00 One who has tried them
 5 670 Author's Her Majesty's prisons, 1881: \$b v. 1, t.p. (one who has tried them)

Ex. 6. Personal name descriptive phrase heading, entered directly.

Screen 1 of 1 : LC Approved Record

Rec stat:	c	Entered:	930108		
Type:	z	Upd status:	a	Enc lvl:	n
Roman:		Ref status:	a	Mod rec:	
Govt. agn.:		Auth status:	a	Subj:	a
Series:	n	Auth/Ref:	a	Geo subd:	n
Ser num:	n	Name:	n	Subdiv tp:	
				Source:	
				Name use:	a
				Subj use:	a
				Ser use:	b
				Rules:	c

- 1 001 no 93000435
- 2 005 19931029094021.1
- 3 040 DLC-S \$c DLC-S \$d DLC-S
- 4 110 20 Friends of Ethiopia
- 5 410 20 FoE
- 6 510 20 \$w b \$a Friends of Ethiopia & Eritrea
- 7 670 Friends of Ethiopia newsletter, Jan. 1992: \$b t.p. (Friends of Ethiopia; FoE; Cabin John, MD)
- 8 670 Friends of Ethiopia & Eritrea newsletter, July 1993: \$b t.p. (FoE has decided to change the name of the organization to Friends of Ethiopia and Eritrea)

Ex. 7. Earlier corporate name, linked to Ex. 8 through 510. Note 670s for serial publications.

Screen 1 of 1 : LC Approved Record

Rec stat:	n	Entered:	931023		
Type:	z	Upd status:	a	Enc lvl:	n
Roman:		Ref status:	a	Mod rec:	
Govt. agn.:		Auth status:	a	Subj:	a
Series:	n	Auth/Ref:	a	Geo subd:	n
Ser num.:	n	Name:		Subdiv tp:	
				Source:	
				Name use:	a
				Subj use:	a
				Ser use:	b
				Rules:	c

- 1 001 no 93031892
- 2 005 19931029094017.5
- 3 040 DLC-S \$c DLC-S
- 4 110 20 Friends of Ethiopia & Eritrea
- 5 410 20 Friends of Ethiopia and Eritrea
- 6 410 20 FEE
- 7 510 20 \$w a \$a Friends of Ethiopia
- 8 670 Friends of Ethiopia & Eritrea newsletter, July 1993: \$b t.p. (FoE decided to change the name of the organization to Friends of Ethiopia and Eritrea (FEE); Washington, D.C.)

Ex. 8. Later corporate name, linked to Ex. 7 through 510.

Screen 1 of 1 : LC Approved Record

Rec stat:	n	Entered:	930604		
Type:	z	Upd status:	a	Enc lvl:	n
Roman:		Ref status:	a	Source:	c
Govt. agn.:		Auth status:	a	Mod rec:	
Series:	n	Auth/Ref:	a	Subj:	a
Ser num:	n	Name:	a	Subj use:	a
				Geo subd:	n
				Subdiv tp:	
				Ser use:	b
				Rules:	c

1 001 no 92008728
 2 005 19920508172503.0
 3 040 InU-Mu \$c InU-Mu
 4 100 10 Wagner, Richard, \$d 1813-1883. \$t Sonate f'ur das Album von Frau M.W.
 5 400 10 Wagner, Richard, \$d 1813-1883. \$t Sonata for the album of Frau M.W.
 6 400 10 Wagner, Richard, \$d 1813-1883. \$t Sonatas, \$m piano, \$n WWV 85, \$r A^b major
 7 400 Wagner, Richard, \$d 1813-1883. \$t Sonate f'ur Mathilde Wesendonck
 8 400 Wagner, Richard, \$d 1813-1883. \$t Album-Sonate
 9 670 Bavarian's courts and residences--Bayreuth [SR] 1973: \$b label (A sonata for the album of Frau M.W. / Richard Wagner)
 10 670 Deathridge, J. Wagner Werk-Verzeichnis \$b (WWV 85: Sonate in As-Dur f'ur Klavier; title on fair copy: Sonate f'ur Mathilde Wesendonck; 1st ed. (1878): Eine Sonate f'ur das Album von Frau M.W.)

Ex. 9. Name-title uniform title heading for a musical composition.

Screen 1 of 1 : LC Approved Record

Rec stat:	n	Entered:	930129		
Type:	z	Upd status:	a	Enc lvl:	n
Roman:		Ref status:	a	Source:	c
Govt. agn.:		Autg status:	a	Mod rec:	
Series:	n	Auth/Ref:	a	Subj:	a
Ser num:	n	Name:	n	Subj use:	a
				Geo subd:	n
				Subdiv tp:	
				Ser use:	b
				Rules:	c

1 001 no 93002946
 2 005 19930129173427.8
 3 040 DGPO \$c DGPO
 4 110 10 United States. \$b Dept. of Labor. \$b Directorate of Civil Rights
 5 410 10 United States. \$b Dept. of Labor. \$b Office of the Assistant Secretary for Administration and Management. \$b Directorate of Civil Rights
 6 670 Its The EEO complaint process in the Department of Labor, 1992: \$b t.p. (U.S. Department of Labor, Office of the Assistant Secretary for Administration and Management, Directorate of Civil Rights)

Ex. 10. Government corporate name heading with subordinate body.

Screen 1 of 1 : LC Approved Record

Rec stat:	c	Entered:	930804		
Type:	z	Upd status:	a	Enc lvl:	n
Roman:		Ref status:	a	Source:	c
Govt. agn.:		Auth status:	a	Mod rec:	
Series:	n	Auth/Ref:	a	Subj:	a
Ser num:	n	Name:	n	Subj use:	a
				Geo subd:	n
				Subdiv tp:	
				Ser use:	b
				Rules:	c

1 001 no 93023139
 2 005 19930818081941.3
 3 040 CU-S \$c CU-S
 4 110 20 Cambio XXI Fundación Mexicana
 5 410 20 Cambio Veintiuno Fundación Mexicana
 6 410 20 Fundación Cambio XXI
 7 670 Cuestiones internacionales, jul.-sept. 1992: \$b cover (Cambio XXI Fundación Mexicana A.C.) p. 10
 (Fundación Cambio XXI)

Ex. 11. Corporate name with numerals; note first 410.

Screen 1 of 1 : LC Approved Record

Rec stat:	n	Entered:	930122		
Type:	z	Upd status:	a	Enc lvl:	n
Roman:		Ref status:	n	Source:	c
Govt. agn.:		Auth status:	a	Mod rec:	
Series:	n	Auth/Ref:	a	Subj:	a
Ser num.:	n	Name:	n	Subj use:	a
				Geo subd:	n
				Subdiv tp:	
				Ser use:	b
				Rules:	c

1 001 no 93001964
 2 005 19930205154233.9
 3 040 InU \$c InU
 4 111 20 Administrative Evaluation of New Hampshire Workshop
 5 670 Its (1st : 1986 : Manchester, N.H.). Chief executive officer/safety director occupant protection program,
 1987: \$b t.p. (Administrative Evaluation of New Hampshire Workshop #1) p. 2 (May 21, 1986,
 Manchester, New Hampshire)

Ex. 12. Conference name. Note formation of 670.

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